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ABSTRACT

The goal of this study was to develop a means for better assessing the potential success of a regional interlibrary loan program. Descriptive information and qualitative data on funding, policies, and procedures were gathered for five regional interlibrary loan programs in New York State from three sources--questionnaires sent to each member library, on-site visits, and a weighted sample of loan requests. A profile of population, socio-economic characteristics, and available library resources was created for each region. Quantitative data were analyzed by rank order correlation or a confidence test of significant similarities and differences. Conclusions were made concerning the impact on interlibrary loan effectiveness of three factors: (1) regional characteristics; (2) the extent and nature of regional interlibrary loan; and (3) loan processing and funding. Fourteen general recommendations were made for funding and loan processing, specific suggestions and proposals were outlined for each regional interlibrary program, and a data collection method was suggested for future performance measurement. The appendices include the regional profile. (KP)

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REGIONAL INTERLIBRARY LOAN
IN NEW YORK STATE:
A COMPARATIVE STUDY

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Of The New York State Library

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Harry Carr, III
Vicki MacDonald
Eugene Vorhies, Jr.

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SECTION I

STUDY OBJECTIVES, SCOPE AND METHODOLOGY

The goal of this comparative study of regional interlibrary loan in New York State was the development of a means for better assessing the potential success of an interlibrary loan program in a region. To accomplish this goal, the study compared and evaluated five regional interlibrary loan programs in the State in order to support conclusions and recommendations pertaining to the funding of regional interlibrary loan, regional interlibrary loan policies and procedures, and a methodology for future assessment of regional interlibrary loan activities.

The five 3 R's regions chosen by the State Education Department for detailed study are those served by the Western, Rochester, Capital District, Southeastern and Long Island 3 R's Councils. The first two regions, Western and Rochester, have indirectly received special State support for regional interlibrary loan processing since the late-sixties. These regions are referred to as the "funded" regions throughout this report. The other three regions have been designated the "non-funded" regions.

The design for this comparative study of regional interlibrary loan evolved in three distinct chronological and substantive phases, each with its own set of research criteria and objectives. Our investigations began with the creation of descriptive profiles of all nine 3 R's regions in the State. Each profile content consisted of (1) a standardized, summary report on the population and pertinent socio-economic characteristics of the region, and (2) an inventory of library resources available in the region. The purpose of preparing these regional profiles was to establish the appropriate bases, if any, for comparisons of regional interlibrary loan activities and performance among and between the funded and the non-funded regions. The regional profiles were originally submitted to the State Education Department and to the nine 3 R's Council Directors as an interim report on the study. They are included in this document in their entirety as Appendix B, are compared in Appendix C and are highlighted in Part One.

The second phase of this study centered on the gathering of descriptive information and quantitative data for our analysis of the manner in which interlibrary loan functions are carried out in each of the five regions under study, for our measurement of the patterns and volumes of interlibrary loan activity in these regions, and for various determinations of the effectiveness of regional interlibrary loan processing in the five regions. The following tasks, each with its own objectives and research methodologies, were performed during the second phase of the study:

- Description of regional interlibrary loan processing in the five regions under study. Each of the five 3 R's Councils was visited, interlibrary loan staff were interviewed, and interlibrary loan manuals and forms were studied to provide a basis for ascertaining the role of each of the 3 R's Councils in facilitating interlibrary loan within the regions.

- Determination of volumes and patterns of regional interlibrary loan. The research instrument employed for this task was a detailed questionnaire sent to each 3 R's Council member library in the five study regions. Volumes and patterns of interlibrary loan for 1974 were developed for each region, and straight-forward comparison methods were used to assess similarities and differences among and between the funded and the non-funded regions.

- Determination of the character and effectiveness of regional interlibrary loan. This task, accomplished through the analysis of a sample of 1,480 interlibrary loan requests, sought to portray the nature of regional interlibrary loan in each of the five study regions. Specifically, it established referral histories and examined them along several dimensions, revealed the character of loan requests, and provided a measure of the success rate in regional interlibrary loan in terms of fill/non-fill status and elapsed time for complete loan routing.

- Analysis of patron satisfaction. The instrument employed to gain some measure of user satisfaction was a telephone patron survey, conducted over a two week period with a sample of interlibrary loan patrons who were selected from our interlibrary loan request sample. The objective here was to gain some understanding of factors which are influential in a patron's perception of and reactions to regional interlibrary loan services.

- Assessment of interlibrary loan processing costs. Research for this task required personal interviews with the 3 R's Council Directors in each study region. From the information obtained in these interviews, we established the expenditures made by each Council during their most recent accounting period to facilitate interlibrary loan. These expenditures were related to the number of loans processed by each Council and to the number filled, in order to develop unit interlibrary loan costs.

The last phase of the study entailed relating the results of the research on regional interlibrary loan to potential causal factors. Impact assessments were developed, conclusions were drawn, and recommendations formulated. It is in this final phase that the goal of the study is achieved. Recommendations pertaining to the funding of regional interlibrary loan, to improvements in regional interlibrary loan policies and procedures, and to the development of a workable methodology for assessing regional interlibrary loan activities in the future are the significant outgrowths of this phase of the study.

SECTION II

REPORT FORMAT

This final report on the comparative study of regional interlibrary loan in New York State is presented in an Introduction, four Parts and five Appendices. The Introduction includes an Executive Summary as a guide to the overall outcomes of the study, and for the convenience of those readers who do not feel the need to become acquainted with the specific contents of the report.

Part One of the report deals with the factors affecting regional interlibrary loan in the five regions under study. It includes three sections. Section I sets forth the demographic and library resources characteristics of the five regions as a frame of reference for the analysis of regional interlibrary loan. Section II describes the roles of the 3 R's Councils in regional interlibrary loan processing. This includes the interlibrary loan functions currently performed by each of the five Councils; the operating procedures, communications and delivery systems which govern the 3 R's interlibrary loan process in each region; and the support provided by each Council for regional interlibrary loan in terms of staffing, bibliographic resources and data banks. Section III presents the history, nature and utilization of the special State funding of regional interlibrary loan in the two funded regions, examines the impact of this funding on Council budgets, and reviews the member library interlibrary loan fee structure that has been instituted by one of the five 3 R's Councils under study.

In Part Two of the report, the extent and nature of regional interlibrary loan in the five regions is explored. Section I establishes the volumes and patterns of regional interlibrary loan in the five study regions. In Section II, the character of regional interlibrary loan is analyzed along various dimensions, such as types of originating libraries, patron status and the nature of requested materials.

Part Three presents the results of the analyses of effectiveness of regional interlibrary loan in the five regions. Section I examines effectiveness in terms of regional interlibrary loan fill rates. Section II describes the character of unfilled requests. Section III analyzes effectiveness in terms of the time required to fill regional interlibrary loan requests. In Section IV, patron satisfaction is explored. Finally, Section V discusses the costs of regional interlibrary loan processing in the five study regions.

The conclusions and recommendations arising from this study are presented in Part Four. Section I identifies the significant similarities and differences among the five regions in the factors affecting regional interlibrary loan, the extent and nature of regional interlibrary loan, and the measures of effectiveness of regional interlibrary loan that the study uncovered. Section II provides our assessment of the extent to which the observed similarities and differences in the effectiveness of regional interlibrary loan in the five regions can be attributed to the observed similarities and differences in the regions themselves, in the approaches of the 3 R's Councils to regional interlibrary loan processing, in the funding of regional interlibrary loan, or are simply due to chance. In Section III, the recommendations arising from the comparative study of regional interlibrary loan in the five regions are set forth. These recommendations deal with the State's funding of regional interlibrary loan, regional interlibrary loan processing policies and procedures, and the development of a workable methodology for the future monitoring of regional interlibrary loan activities and performance.

The five Appendices to the report provide the reader with important reference material. In Appendix A, the methodology for the comparative study of regional interlibrary loan is reviewed. Appendix B presents individual profiles of all 3 R's regions that were prepared in the first phase of this study. Appendix C contains a comparative profile of the 3 R's regions, developed from the material in Appendix B. Appendix D contains samples of the interlibrary loan forms utilized by each of the five 3 R's Councils under study. Finally, Appendix E provides regional listings of monograph and serial requests from the sample of requests drawn from the five regions for this study that were not filled, either in the region or elsewhere.

SECTION III

EXECUTIVE SUMMARY

The objective of regional interlibrary loan processing is the utilization of regional reference and research resources to meet regional demand for reference and research materials. Given a particular regional supply/demand profile, the task confronting the 3 R's Council is to develop regional interlibrary loan policies and procedures, and to allocate available funding, to effectively match regional interlibrary loan requests to member libraries able and willing to fill the requests.

It is evident that regional characteristics, regional interlibrary loan processing, and regional interlibrary loan funding all impact on the measures of effectiveness of regional interlibrary loan. It is difficult to isolate the specific chains of impact, however, because these three variables -- regional resources, processing methodology, and funding -- are themselves highly interdependent. The regions that are funded are the regions that had strong library resources relative to interlibrary loan demand at the time of funding (i.e., 1968). Moreover, the regional interlibrary loan processes in these regions which positively impact upon the measures of effectiveness were able to be instituted only because the regions were funded.

The funded regions have been able to achieve higher regional interlibrary loan fill rates for two reasons: they started from a stronger supply/demand position than did the non-funded regions; and, with funding, they have developed regional interlibrary loan procedures that maximize their advantage in resources. Since the reference and research resources utilized to meet regional interlibrary loan demand in the funded regions are relatively concentrated in two institutions per region -- such that searching for potential lending libraries is less a problem than handling the flow of requests -- and since the libraries possessing the resources to meet much of the regional demand are reimbursed for the use of their collections -- such that the 3 R's Councils do not have to be concerned about referring too many requests to any particular lending institution -- the funded regions have been able to institute interlibrary loan procedures which are designed to simply process requests, rather than to search for and spread requests among a large number of potential lending libraries.

The non-funded regions are faced with a different set of requirements, since their member libraries lack unrestricted access to the collections in the regions that are best able to service the regional interlibrary loan demand, and since the number of needed referrals is greater than in the funded regions because of the absence of very large public and academic library collections. These regions have had to rely on "search-and-spread" procedures as the primary basis for processing regional interlibrary loan requests. The fact that these regions evidence less effectiveness than the funded regions in filling regional interlibrary loan requests indicates that: (1) the supply of resources in these regions is inadequate to the demand for resources; (2) the "search-and-spread" procedures being utilized are not as effective as they might be; or (3) a combination of both of these reasons.

PRINCIPAL STUDY OUTCOMES

- The incidence of monograph and serial requests in regional interlibrary loan among the five regions under study correlates with certain demographic and library resource factors in the regions: regions having higher numbers of serials per researcher evidence lower proportions of serial requests to total requests; regions having larger single public library collections evidence lower proportions of monograph requests to total requests; and, regions having more individual public libraries evidence higher proportions of monograph requests to total requests.

- The proportion of requests referred to the 3 R's Council is influenced by the ability of the member libraries to tap regional resources, or holdings information on those resources, through the functioning of the 3 R's Council's interlibrary loan program; the efficiency of the 3 R's Council's interlibrary loan staff in processing requests; and the borrowing alternatives available to member libraries.

- The Division of Library Development, in consultation with the 3 R's Councils, authorizes the number of State Library transmission sites which operate in each region. This also influences the pattern of request referrals in each region, as well as the volume and nature of requests which are referred directly by member libraries to the State Library for filling or processing in the NYSILL network.

- The differences in fill rates across the five regions are significantly related to differences in the proportions of monograph and serial requests represented in the total interlibrary loan activity in each region: fill rates for serial requests in all regions are uniformly high, regardless of the proportion of serial requests to total requests within the region; regions with higher proportions of monograph requests being referred within the region evidence lower fill rates for these requests than do regions with proportionately fewer monograph requests being referred; and, regions with higher proportions of monograph requests have lower overall fill rates.

- The five regions under study have more equal capability for satisfying serial requests than they have for satisfying monograph requests. The regions' capabilities for filling monograph requests for patrons within the region, especially "other" patrons using public libraries, are disparate.

- Regions in which the processing of interlibrary loan requests is based primarily on access to strong resource libraries within the region -- namely, the Western and Rochester regions -- have the highest regional interlibrary loan fill rates for requests referred to the 3 R's Council or its designated resource libraries. Regions in which the 3 R's Councils utilize central information on the monograph holdings of the member libraries in the region -- namely, the Capital District and Long Island regions -- have the next highest fill rates for requests referred to the 3 R's Council. The region in which the 3 R's Council has neither of these alternatives at its disposal at the present time -- namely, the Southeastern region -- has the lowest fill rate for requests referred to the 3 R's Council for processing in the region.

- The elapsed times required to fill requests in each region are principally related to the type of material requested rather than to patron status or type of originating library: in general, the elapsed times required to fill serial requests are lower than those for monograph requests; regions with higher proportions of serial requests being referred within the region evidence longer elapsed times to fill serial requests; and, elapsed times for monograph requests do not vary among the five regions with the proportion of monograph requests to total requests being referred.

- Regions in which the processing of interlibrary loan requests is based primarily on access to strong resource libraries within the region are unable to fill requests referred to the 3 R's Council in less time than requests which are referred in some other pattern.

- Regions with strong regional resources can more effectively limit direct access to the State Library, so that fewer and more thoroughly screened items are referred to the State Library. This results in higher State Library fill rates. Regions lacking strong regional resource libraries can less effectively limit direct access to the State Library, so that more and less thoroughly screened items are referred to the State Library. This results in generally lower State Library fill rates.

- The 3 R's Councils are more effective in linking regional interlibrary loan demand -- especially the demand for monograph materials -- with regional interlibrary loan supply -- especially the supply of monograph materials -- when that supply is concentrated in a few major collections. Regions lacking this concentration of supply in one or two regional resources libraries are very dependent on the ability of the 3 R's Councils to search and locate requested monograph items.

- Although the 3 R's Councils are more effective in filling requests when the supply of regional library resources is concentrated in a few major collections, this concentration of supply generally results in longer elapsed times for filling requests -- especially serial requests --

through the 3 R's Council. Regions possessing a concentration of supply in one or two regional resource libraries are very dependent on the ability of the 3 R's Council and/or the resource libraries to process and complete requests for serial materials in a timely fashion.

- The support of regional resource libraries by direct State funding has an impact upon regional interlibrary loan effectiveness. These funds make the strongest resource collections in each region available to patrons within the region through the regional interlibrary loan program. Because these resources are easily and quickly accessible, both fill rates and fill times are influenced positively. Indirectly, this availability influences the overall regional pattern of loan borrowing by resulting in a greater proportion of regional requests being referred to the 3 R's Council for processing.

- The unit operating costs incurred by the five 3 R's Councils in support of regional interlibrary loan processing generally reflect the scope of interlibrary loan services being provided by each Council to its member libraries. Those Councils that provide the broadest range of interlibrary loan processing services incur higher unit operating costs than those that provide a narrower range of direct services. Amortized capital investments by the 3 R's Councils to initiate or maintain some type of central file of member library monograph holdings naturally increase total unit processing costs in the two regions that utilize such devices. Contract reimbursements by the State to regional resource libraries also increase total unit processing costs in the two regions whose member libraries are under contract. These reimbursements actually subsidize the budgets of the two 3 R's Councils by meeting a substantial portion of the total expenses of regional interlibrary loan processing in these regions.

- The findings of the present study suggest that the Western and Rochester regions are making very effective use of regional resources in satisfying regional demand; that the Capital District and Long Island regions could make more effective use of regional resources if unrestricted access to the strongest collections in these regions were made possible; and, that the Southeastern region is making effective use of regional resources, but that those resources are much more inadequate to regional demand than in any of the other regions.

PRINCIPAL STUDY RECOMMENDATIONS

In the long-term, improvements in the effectiveness of regional interlibrary loan in any particular region can be achieved by strengthening the library resources available in the region through investments in reference and research resources. In the shorter-term, the library resources that are available for regional interlibrary loan in any particular region can be improved by: (1) arrangements with member libraries that provide access to reference and research resources that are not presently available, or fully available, to meet regional interlibrary loan demand; and, (2) arrangements with libraries outside the region, preferably in adjoining regions, that "expand" regional boundaries to encompass additional reference and research resources to meet the region's interlibrary loan demand. Thus, in the shorter-term, the funding of regional interlibrary loan and the mode of regional interlibrary loan processing -- which are very interdependent -- are the instruments for achieving improvements in matching reference and research resources to patrons' needs for those resources in the 3 R's regions of the State. This premise has led to the following recommendations:

- The State should continue its contract funding of the two regional resource libraries in the Western 3 R's region -- the SUNY at Buffalo libraries and the Buffalo and Erie County Public Library -- and of the academic regional resource library in the Rochester 3 R's region -- the University of Rochester libraries. In both regions, this funding assures that reference and research resources within the region are made available to all in the region who need such resources without regard to institutional affiliations. This funding is cost-effective for the State because it significantly reduces the volume of interlibrary loan requests which are referred to the State Library and the NYSILL referral libraries for processing and filling.

- The State should initiate contract funding of regional resource libraries in the Capital District and Long Island 3 R's regions, using the general criteria established in 1968 for the funding of regional resource libraries in the Western and Rochester 3 R's regions. In the Capital District region, the SUNY at Albany library should be reimbursed under contract by the State as an academic regional resource library for the member libraries of the Capital District 3 R's Council. In the Long Island region, both the SUNY at Stony Brook libraries and the Hofstra University library should be reimbursed under contract by the State as academic regional resource libraries for the member libraries of the Long Island 3 R's Council. These three additional academic regional resource libraries should, as a condition of funding, be expected to make their resources available for filling regional interlibrary loan requests under the same terms and conditions as currently apply to the academic regional resource libraries in the Western and Rochester 3 R's regions.

- The Capital District and Long Island regions both lack a public library of sufficient size to serve under contract as the public regional resource library for the member libraries of these 3 R's Councils. The Southeastern region presently lacks both an academic and a public library of sufficient size to serve under contract as regional resource libraries for that Council's member libraries. Therefore, the State should contract with major libraries outside these three regions to meet their needs for access to significant academic and/or public reference and research resources. Such contracts would improve the interlibrary loan services available to patrons in these regions, and would be cost-effective for the State by reducing the volume of interlibrary loan requests which are referred to the State Library for filling or processing in the NYSILL network. The extra-regional contract resource libraries for the Capital District, Southeastern and Long Island 3 R's Councils should be chosen to minimize communication/mail/delivery delays between the contract libraries and these Councils.

- The State's future funding of regional interlibrary loan in the 3 R's regions should be more equitable than it has been, in terms of the impact of this funding on the 3 R's Councils' budgets. In order to accomplish this purpose, the State may have to institute "equalization" funding of 3 R's Councils that need not or cannot effectively be funded on an indirect basis through the mechanism of State contracts with regional resource libraries. Such "equalization" funding in support of regional interlibrary loan should be flexible to allow for varying regional needs. For example, some regions may wish to use such funds to effect improvements in regional interlibrary loan work-flows, others may wish to establish central files on member library monograph holdings, and still others may wish to invest in strengthening regional collections under various cooperative arrangements.

- The State Library should require that interlibrary loan requests originating in regions with State-funded regional resource libraries, and in any regions that might receive interlibrary loan processing "equalization" funds, be referred to the State Library for filling or processing in the NYSILL network only after having been searched by the 3 R's interlibrary loan processing center for possible filling in the region. Such a policy would serve to maximize the utilization of regional resources, and reduce the volume of requests being referred to statewide resources.

- The 3 R's Councils should issue supplements to their regional union lists of serials annually, and should re-print these union lists no less frequently than every five years. Out-of-date and difficult to use union lists have the effect of reducing serial request fill rates, and increasing the proportion of serial requests that are referred to the 3 R's Council interlibrary loan processing center rather than directly to the lending member library. This higher proportion results in increased interlibrary loan processing costs and longer elapsed times.

- The basic union list and annual supplements for each 3 R's region should be distributed to the other 3 R's Councils to facilitate extra-regional borrowing of serials for reference and research purposes.

- The present study has not documented the extent to which maximum utilization of regional resources is being achieved in the five 3 R's regions with current interlibrary loan processing procedures. Such documentation requires research that establishes whether or not requests unfilled after processing in the region, or filled outside the region without regional processing, could have been filled within the region if a different mode of processing had been utilized. Such research should be incorporated into the Division of Library Development's future monitoring of regional interlibrary loan in the 3 R's regions in the State.

- In order to monitor regional interlibrary loan effectiveness in the future, data on fill rates and elapsed times should be collected, the extent of full utilization of regional reference and research resources to meet regional demand for these resources should be established, and the nature and subject matter of unfilled regional interlibrary loan requests in each 3 R's region should be analyzed. These three approaches to future performance measurement of regional interlibrary loan are sufficient to provide those responsible for interlibrary loan planning and decision-making in the 3 R's regions of the State with an appropriate information base for the discharge of their responsibilities.

PART ONE

FACTORS AFFECTING REGIONAL INTERLIBRARY LOAN IN THE FIVE REGIONS UNDER STUDY

SECTION I

REGIONAL CHARACTERISTICS

This section highlights the demographic and library resource characteristics of the five regions under study. More detailed information concerning the 3 R's regions is presented in Appendices B and C.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

The Western 3 R's region encompasses the State's six far western counties -- an area of 4,886 square miles -- which, in 1970, contained 1,674,208 persons, or 9.5 percent of the total State population. Sixty-two percent of this region has been classified as urban. The Western region contains 57,164 college students (8.7 percent of the State's total) and 91,016 professional, technical or kindred workers (7.6 percent of the State's total), for an estimated total research population of 148,180.

The public libraries in the Western region collectively contain 4,253,658 monograph volumes (62 percent adult non-fiction), 50,268 serials, and 110,855 non-print materials. The largest public library collection, that of the Buffalo and Erie County Public Library, contains 1,934,817 monograph volumes.

Academic libraries in the Western region contain a total of 3,351,938 monographs and 41,275 serials. The largest academic library collection is the SUNY at Buffalo library collection containing 1,509,349 monographs, with 17,266 serials currently received. The other 24 academic library collections in this region contain less than 500,000 monograph volumes.

Thirty-four special libraries in the Western region for which this information was available contain a total of 633,428 volumes.

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

The Rochester 3 R's region encompasses five of the State's western counties -- an area of 3,168 square miles -- which, in 1970, contained 961,899 persons, or 5.3 percent of the total State population. Forty-three percent of this region has been classified as urban. The Rochester region contains 37,840 college students (5.7 percent of the State's total) and 69,027 professional, technical or kindred workers (5.8 percent of the State's total), for an estimated total research population of 106,866.

The public libraries in the Rochester region collectively contain 1,947,367 monograph volumes (40 percent adult non-fiction), 29,711 serials, and 123,920 non-print materials. The largest public library collection, that of the Rochester Public Library, contains 795,933 monograph volumes.

Academic libraries in the Rochester region contain a total of 2,646,438 monographs and 25,193 serials. The largest academic library collection is the University of Rochester library collection containing 1,294,471 monographs, with 13,186 serials currently received. The 13 other academic library collections in this region contain less than 500,000 monograph volumes.

Forty special libraries in the Rochester region for which this information was available contain a total of 525,404 volumes.

CAPITAL DISTRICT LIBRARY COUNCIL

The Capital District 3 R's region encompasses ten counties around Albany -- an area of 7,204 square miles -- which, in 1970, contained 962,021 persons, or 5.3 percent of the total State population. Fifty percent of this region has been classified as urban. The Capital District region contains 37,688 college students (5.7 percent of the State's total) and 63,056 professional, technical or kindred workers (5.3 percent of the State's total) for an estimated total research population of 100,744.

The public libraries in the Capital District region collectively contain 1,921,122 monograph volumes (48 percent adult non-fiction), 86,418 serials, and 46,560 non-print materials. The largest public library collection, that of the Schenectady Public Library, contains 286,482 monograph volumes.

Academic libraries in the Capital District region contain a total of 2,335,861 monographs and 25,193 serials. The largest academic library collection is the SUNY at Albany collection containing 725,000 monographs, with 6,606 serials currently received. The 21 other academic library collections in this region all contain less than 500,000 monograph volumes.

Forty-eight special libraries in the Capital District region for which this information was available contain a total of 663,143 volumes.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

The Southeastern 3 R's region encompasses eight counties --an area of 5,472 square miles -- which, in 1970, contained 1,009,026 persons, or 5.5 percent of the total State population. Forty percent of this region has been classified as urban. The Southeastern region contains 31,659 college students (4.8 percent of the State's total) and 70,694 professional, technical or kindred workers (5.9 percent of the State's total) for an estimated total research population of 102,353.

The public libraries in the Southeastern region collectively contain 1,788,802 monograph volumes (47 percent adult non-fiction), 67,740 serials, and 63,259 non-print materials. The largest public library collection, that of the Newburgh Public Library, contains 96,559 monograph volumes.

Academic libraries in the Southeastern region contain a total of 1,829,715 monographs and 16,196 serials. The largest academic library collection is the Vassar College collection containing 439,520 monographs, with 3,432 serials currently received. The 20 other academic library collections in this region all contain less than 500,000 monograph volumes.

Twenty-nine special libraries in the Southeastern region for which this information was available contain a total of 63,259 volumes.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

The Long Island 3 R's region encompasses the two counties on Long Island -- an area of 1,218 square miles -- which, in 1970, contained 2,553,081 persons, or 14.0 percent of the total State population. Ninety-five percent of this region has been classified as urban. The Long Island region contains 86,141 college students (13.1 percent of the State's total) and 178,883 professional, technical or kindred workers (15.0 percent of the State's total) for an estimated total research population of 265,024.

The public libraries in the Long Island region collectively contain 6,993,749 monograph volumes (54 percent adult non-fiction), 209,800 serials, and 227,556 non-print materials. The largest public library collection, that of the Great Neck Public Library, contains 304,771 monograph volumes.

Academic libraries in the Long Island region contain a total of 2,725,032 monographs and 47,342 serials. The largest academic library collection is the SUNY at Stony Brook collection containing 756,356 monographs, with 14,898 serials currently received, followed closely by the Hofstra University collection of 603,531 monograph titles and 5,464 serials currently being received. The 16 other academic library collections in this region all contain less than 500,000 monograph volumes.

Fifty-one special libraries in the Long Island region for which this information was available contain a total of 615,306 volumes.

SECTION II

ROLE OF THE 3 R'S COUNCILS IN REGIONAL INTERLIBRARY LOAN PROCESSING

In each 3 R's region, member libraries have several borrowing alternatives that they can pursue in trying to fill patrons' requests for materials that the library does not have in its own collections: (1) they can attempt to obtain the requested item or a photocopy of the desired material directly from other libraries in the region that they know or suspect hold the item; (2) they can refer the request directly to the 3 R's Council interlibrary loan staff -- or to regional resource libraries that act in behalf of the Council -- for processing within the region, and, if unavailable in the region, for referral to the statewide interlibrary loan network (i.e., NYSILL); (3) they can refer the request directly to the State Library (or to the 3 R's Council or one of its regional resource libraries for direct transmission to the State Library) for possible filling in the statewide network; 1/ or (4) they can attempt to obtain the requested item or a photocopy of the desired material directly from other libraries outside the region that they know or suspect hold the item.

One or more of these alternatives is decided upon each time a member library in any of the 3 R's regions under study initiates an interlibrary loan request for a patron, or -- in the case of public library systems -- for a member public library. 2/ Alternatives (1) and (2) constitute regional interlibrary loan activity; these alternatives represent attempts to utilize the library resources within a prescribed area to meet the demand for materials generated by patrons in that same area. Alternatives (3) and (4) constitute extra-regional interlibrary loan activity; these alternatives represent attempts to utilize library resources outside a prescribed area to meet the demand for materials generated by patrons within that area.

1/ The number of member libraries in each of the five 3 R's regions that may transmit requests directly to the State Library for NYSILL processing is as follows: Western -- three public library systems and three academic libraries; Rochester -- one public library system, and one academic library; Capital -- three public library systems, three academic libraries, and one special library; Southeastern -- two public library systems; and Long Island -- two public library systems, two academic libraries, and one special library.

2/ Throughout this study, the public library system member of the 3 R's Council is considered as one member library, although it represents many individual public libraries, some of which may also be Council members. All interlibrary loan between individual public libraries and the 3 R's Council interlibrary loan staff is cleared and channeled through the public library system's interlibrary loan unit.

The extent to which and the circumstances under which the member libraries in the five 3 R's regions under study utilize regional or extra-regional interlibrary loan to satisfy patron demand for materials is discussed in Part Two, Section I. This section presents the results of Checchi's investigations of the manner in which regional interlibrary loans are processed by the five 3 R's Councils under study. Since alternative (1) -- member-to-member borrowing without any direct facilitation by the 3 R's Councils 1/ is carried out according to the interlibrary loan policies and procedures of the individual lending and borrowing institutions, this analysis of regional interlibrary loan processing in the five 3 R's Councils concentrates on the manner in which alternative (2) -- direct facilitation of regional interlibrary loan by the 3 R's Councils -- is carried out.

The material below describes the manner in which regional interlibrary loan requests are processed by the interlibrary loan staff of each of the five 3 R's Councils under study.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

The headquarters of the Western New York Library Resources Council (WNYLRC) is located in the central library building of the Buffalo and Erie County Public Library. Interlibrary loan activities in this region are carried out by the Council in conjunction with agreements between the State Education Department and the Buffalo and Erie County Public Library and SUNY at Buffalo.

Interlibrary loan requests are received daily at the Council via three means of communication. Large borrowers in the region --SUNY College at Buffalo, SUNY College at Fredonia, SUNY at Buffalo, Roswell Park Memorial Institute, and the Nioga and Chautauqua-Cattaraugus Public Library Systems -- have direct teletype communication with Council headquarters. Other libraries with a light to medium volume of interlibrary loan activity either mail or telephone their requests to the Council.

Loan processing and record keeping are aided by standard color-coded interlibrary loan forms produced by the Council for its member libraries. The form provides space for the originating library to designate deadline information if appropriate, so that Council staff know which requests are to be considered urgent, and can avoid attempting to fill requests still outstanding on the "need-date" specified by the patron. (See Appendix D for a sample of this form.) Libraries that mail requests to the Council do so using the standard WNYLRC form. When the Council staff receives a request by telephone they usually record it on this interlibrary loan form to facilitate processing. Requests received by teletype are not generally transcribed onto the form because of the high volume of requests transmitted in this manner. The Council staff uses the incoming teletype record in processing these requests.

1/ All of the 3 R's Councils under study indirectly facilitate regional interlibrary loan under alternative (1) by preparing and distributing regional union lists of serials.

Two major patterns of search and referral are employed by the Council staff, depending upon the type of request received. All serial requests are first reviewed for completeness. Several sources of holdings information are then checked in the following order: (1) the Western New York Union List of Serials to determine if the Buffalo and Erie County Public Library owns the item; 1/ (2) the SUNY Union List of Serials to determine if one of the SUNY at Buffalo libraries owns the serial; and (3) New Serial Titles, New York State Union List of Serials, and the national Union List of Serials before any serial request is referred to the State Library for NYSILL processing. If the serial being requested is relatively new (i.e., published since 1970), Council staff first check the SUNY at Buffalo print-out, which has up-to-date information on SUNY at Buffalo serial holdings. If not found, they then check the SUNY union list (published in 1972), which shows holdings information for all SUNY locations in the region as well as regional community college serials information. If the serial being requested has not been located in one of these sources, the Council staff have up-dated files of the region's serial holdings and separate periodical lists from a number of the member libraries which are checked if the request can be narrowed to a subject field. Once located, the serial request is forwarded to the appropriate holding library, and a photocopy of the article is sent to the requesting library. If not located within the region, the serial request is either cancelled or sent to the New York State Library.

With rare exception, all monograph requests received at the Council are first referred directly to the Buffalo and Erie County Public Library. Personnel at this library search their card catalog and the shelf lists in each department. If the item is located, the public library staff prepares it for delivery by mail or the United Parcel Service, with whom the Council has a delivery contract. If the request cannot be filled at the Buffalo and Erie County Public Library, the request form is returned to the Council for further processing in the region. At this point, a decision is made to refer the request to one of the subject libraries at SUNY at Buffalo (Lockwood contains the general academic collection while the Health Sciences, Science and Engineering, and the Sears Law Library collections provide materials in their specific fields). For example, a request which is obviously a very sophisticated health sciences monograph will be referred immediately to the Health Sciences Library by Council staff. Requests of the SUNY at Buffalo libraries are teletyped by a full-time professional staff member of the Buffalo and Erie County Public Library acting for Council staff. The Health Sciences Library teletypes its report back to the Council headquarters while the Lockwood, Science and Engineering and Law libraries report by telephone.

1/ All five 3 R's Councils under study publish a union list of serials. Using this tool, member libraries make direct serial requests of other regional member libraries. This reduces the volume of serial requests which would otherwise pass through the Councils for processing.

When these major sources have been exhausted, Council staff, given their knowledge of the subject strengths of their member libraries, make referrals to the libraries within their region.

A large number of regional referrals are sent to the SUNY College at Fredonia, SUNY College at Buffalo and the two other public library systems in the region. These requests are referred by mail because of the high number of such referrals, while requests to other smaller member libraries are made by telephone. The majority of member libraries respond to these request inquiries from the Council by telephone or, in the case of the public systems, by teletype. If an item is located within the region, individual libraries use the delivery system or mail the items directly to one another and handle all other matters relating to returns, overdue books, mailing costs, etc.

Requests unfilled in the region are transmitted to the State Library for filling or NYSILL processing. A Buffalo and Erie County Public Library staff member performs additional verification, prepares requests for transmission, and sees that they are sent daily via the teletype to the State Library. Requesting libraries are notified of NYSILL status via a WNYLRC response form. The SUNY at Buffalo libraries, as well as the three public library systems, transmit NYSILL requests directly to the State Library.

All locations to which requests have been referred are noted (along with the date that a reply was received) on the Council's interlibrary loan form. Final status reports to requesting libraries are sent in three ways. SUNY at Buffalo libraries receive a teletyped report while the two public library systems, SUNY College at Fredonia and SUNY College at Buffalo receive typed reports in the mail. All other requesting libraries are notified by telephone.

Working files are maintained daily by the Council's staff. These include (1) filled requests, (2) cancelled requests, and (3) pending requests, which include those requests which staff members are currently working on or are awaiting a reply from a library to which an inquiry has been made.

The Council's staff also maintains a very precise flow chart of all incoming requests and their subsequent referrals including all dates and the status at each referral library. All member libraries have been requested to maintain similar records to be sent monthly to the Council headquarters for a cross check to make sure that "sent" material is being received and cancelled requests are not "pending." All libraries are also required to report other (outside Council) interlibrary loan activity to the Council.

The Western Council provides delivery service to 15 of its member libraries under an arrangement with the United Parcel Service. UPS stops daily at these locations -- Niagara County Community College, Niagara University, the Buffalo Museum of Science, SUNY College at Buffalo, SUNY at Buffalo Lockwood and Health Sciences Libraries, SUNY College at Fredonia, Rosary Hill College, Canisius College, Historical Society of Buffalo and Erie County, D'Youville College, and St. Bonaventure University, and the three public library systems. A number of the Council's special library members, especially corporate libraries, have made their own delivery arrangements, either with a messenger service or with UPS.

The following paragraphs review the personnel and other resources that are utilized by the headquarters of the Council in carrying out its role in regional interlibrary loan processing.

The Council's staff consists of two interlibrary loan assistants, who presently spend all of their time on the activity, and the Council's director and his secretary, who contribute a small portion of their time to regional interlibrary loan.

The Western Council's interlibrary loan activity is aided by the 1970 edition of the Western New York Union List of Serials and the SUNY Union List of Serials monthly print-out which lists the majority of serials available in the region. In addition to the standard verification tools which are available at the Council, the Council also has access to the Buffalo and Erie County Public Library's many bibliographic resources.

Member libraries, rather than the Council itself, have direct access to a number of data banks. Ten libraries have access to OCLC information, including Canisius College, the Nioga Public Library System and the Buffalo and Erie County Library System, whose terminals are subsidized by the Council. Also, through Calspan, member libraries, for a fee can tap a large number of data banks. Those data banks to which members have access include the following: Medlars, Medline, AVline, BMC, ERIC, Serline, Toxline, Psychological Abstracts, Cancerline, Catline, Chemline, C.A.I. SUNY-BCN, GEOREF, NTIS, PANDAR/TRANSDEX, NAL INSPEC, ABI, Engineering Index, C.A. Condensates, Social SCISEARCH, F&S INDEXES, Pollution Abstracts, Claims, Biosis Previews (both through the Lockheed Information System).

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

The headquarters of the Rochester Regional Research Library Council (RRRLC) is located at the Rochester Institute of Technology.

All requests which circulate through the 3 R's interlibrary loan process in this region have been classified as either "general" requests (monographs in the humanities, social sciences, pure and applied sciences of an elementary nature, and business; and serials indexed in the Readers' Guide to Periodical Literature after 1940) or "special" requests (medical, technical, scientific, foreign serials and monographs, and materials of a highly specialized nature in any field).

All general monograph requests are referred to the interlibrary loan department of the Rochester Public Library (RPL), which fills as many requests as possible. For monograph items which are not filled at RPL, RPL compiles a "Want List" of unfilled requests, starring those ineligible for searching at the University of Rochester libraries, and circularizes it daily to member libraries. Unfilled requests are listed on the "Want List" alphabetically by main entry. Each library (including the University of Rochester libraries) owning the monograph indicates its willingness to loan it by checking one of three columns or by supplying the appropriate teletype code: (1) Can Fill, (2) In Use, or (3) Non-Circulating. A potential lending library checks the "Can Fill" column on the mailed "Want List" for all items available for loan, returns the list to RPL and holds the book aside for at least one week. RPL then sends the request (on the ALA form) to one of these potential lending libraries. This library fills the request by sending the item to the borrowing library, either by mail, delivery or messenger. All libraries in the region have agreed to process requests within 24 hours of receipt for subsequent pick-up or mail, or otherwise notify the requesting library.

Monograph requests which are not filled within the region are forwarded to the State Library by RPL unless the requesting library stipulates otherwise.

General serial requests are also sent directly to the Rochester Public Library, which supplies photocopies if the serial is available. Requests which are not filled at RPL are forwarded to the University of Rochester libraries. Requests not filled at UR are forwarded to other libraries within the region which are listed in the Union List of Serials as owning the item. Requests not filled at all in the region are forwarded to the State Library by the University of Rochester.

All special monograph requests are first referred to the appropriate University of Rochester library (Rush Rhees, Miner--for medical requests, or the Sibley Music Library). Foreign or medical monograph requests not located at UR are then forwarded directly to the State Library by UR. Other requests which are not located at the UR are sent to RPL and are incorporated on the "Want List" which is circulated to member libraries. Requests which are not filled within the region are then forwarded to the State Library by RPL.

Special serial requests are also sent initially to the appropriate University of Rochester library. Requests not filled at the University of Rochester library are sent to RPL, which, if it does not own the item, will refer it, based on the regional Union List of Serials, to one of the member libraries listed as owning the item. 1/ Libraries which are unable to supply the item return the request to either RPL or UR for transmission to the State Library.

Certain types of requests are not eligible for interlibrary loan search at the University of Rochester. These include all serials which have been indexed in the Readers' Guide to Periodical Literature since 1940, monographs listed in Books in Print which cost less than $7.50, and monograph requests from undergraduate, high school, or elementary school students. Only the Rochester Public Library will process these requests.

The two resource libraries in the Rochester region receive requests either via the teletype or by mail on the ALA form. (Refer to Appendix D for an example of this form.) Telephone requests are accepted only for very urgent items and must be followed by an interlibrary loan request form. Member libraries which have direct teletype communication with RPL and UR are the following: Nazareth College, St. John Fisher College, Hobart and William Smith Colleges, Rochester Institute of Technology, SUNY College at Geneseo, and Xerox's Technical Information Center. RPL and UR have specific times when they initiate daily calls to these libraries for the transmission of in-coming requests and out-going request reports.

Both the University of Rochester and the Rochester Public Library transmit requests to the State Library. The Rochester Public Library handles the bulk of State Library requests while the University of Rochester transmits its own requests for materials, foreign and medical requests, and serial requests which are initially sent to it and are not available within the region. Other libraries within the region who have teletype facilities do not transmit directly to the State Library but gain access through one of the two regional resource libraries. Both of these libraries verify items that requesting libraries were not able to verify with their own bibliographic tools before transmitting requests to the State Library.

The 3 R's Council headquarters and individual member libraries maintain interlibrary loan statistics by means of the ALA form on which all referral information is noted. These forms are also used to notify libraries of the status of their requests.

1/ If neither of the two regional resource libraries own the desired serial (determined by consulting the RRRLC Union List of Serials), the requesting library generally makes its request directly to any other area library which does own it.

The RRRLC provides a delivery service for a number of the member libraries through contracts with the Monroe, Livingston, and Ontario Cooperative Public Library Systems. The Monroe County Library provides daily delivery to twelve member libraries -- SUNY College at Brockport Drake Memorial Library and the Media Center, Eastman Kodak Laboratories, Monroe Community College, Nazareth College, Rochester Public Library, the University of Rochester's Rush Rhees and Miner Libraries, St. John Fisher College, Rochester Institute of Technology, and Xerox Corporation's Business Library and Technical Information Center -- and to the Council itself. The Livingston County system provides delivery to SUNY College at Geneseo four days per week, while the Ontario Cooperative Library System serves Hobart and William Smith Colleges and the Community Colleges of the Finger Lakes three days per week. These three public library systems have existing delivery routes which service the libraries within their systems and the Rochester Public Library, and by agreements with RRRLC have added the additional stops listed above.

All materials are returned directly to the lending library via this service or by mail.

Member libraries in this region have access to a number of data banks including the following: Medlars, BMC, ERIC, Toxline, Psychological Abstracts, Biosis, SUNY Biomedical, EPSIS, CAS, Compendex, NTIS, Inform, CAIN, IDC/LIBCON, POLLUTION, GEOREF, SCISEARCH, INSPEC, SOCIAL SCISEARCH, Claims, and PATS. In addition, data banks at SDC and Lockheed are available. Seven member libraries have access to an OCLC terminal.

CAPITAL DISTRICT LIBRARY COUNCIL FOR REFERENCE AND RESEARCH RESOURCES

The headquarters of the Capital District Library Council (CDLC), is located on the Renssalaer Polytechnic Institute campus in Troy.

Two types of requests are processed by the CDLC staff. These are (1) requests which are searched for member library holdings information and (2) requests which the Council staff sends to the State Library for its members. Each is discussed in turn below.

Requests which are searched for member library holdings information are received at the Council headquarters in five ways. Some of the heaviest users of CDLC services (SUNY at Albany, Union College, Siena College, Hudson Valley Community College, and Empire State College) have telecopier communication with CDLC and transmit their requests via this device. Most libraries, however, telephone requests to the Council headquarters. Two of the public library systems (Upper Hudson and Mohawk Valley) send their requests via teletype (since June, 1975), while the third public library system (Southern Adirondack) sends requests via the courier. Occasionally, requests from the North Country 3 R's Council may be mailed to the Council, but no CDLC member library uses this means for request transmittal. Phone requests are copied directly on to color-coded CDLC/NYSILL request forms. (Appendix D contains a sample of this form.) Teletype and telecopier pages are used directly by the staff in processing requests for holdings information.

Monograph requests are first searched in CDLC's union card catalog by a staff of part-time professionals, paraprofessionals, and student assistants. If the request is not located in the card catalog, an OCLC search is initiated to locate possible holdings by member libraries who either have their own OCLC terminal (the Renssalaer Polytechnic Institute, SUNY at Albany, Russell Sage College, Southern Adirondack and Upper Hudson Public Library Systems), or are involved in a joint OCLC cataloging program with CDLC (Albany Law School, SUNY College at Cobleskill, Empire State College, Fulton-Montgomery Community College, Schenectady Community College, and Union College). The OCLC terminal also provides NYSILL, other New York, and out-of-state locations. In the process of search and verification utilizing the *National Union Catalog*, *Cumulative Books Index*, OCLC, and other bibliographic tools, citation corrections may be noted and the CDLC staff may re-research the union catalog for possible holdings in the region.

Serial requests are handled in much the same sequence as are monograph requests. Requests are searched in the Capital District's updated master file of regional serial holdings and then in out-of-region serial listings.

CDLC staff notes locations for the item on the CDLC request form or on the teletype or telecopier page. If the staff must go to OCLC to locate an item, most locations, including those from surrounding areas (New Jersey, Pennsylvania, New England), are reported to the requesting library. This information is then transmitted to the requesting library by the same means of communication that the request was received at CDLC.

Once the requesting library knows those libraries within the region which own the desired item, it is the responsibility of that library to deal directly with the potential lender(s). With the exception of the courier service which is provided by the Council, CDLC involvement with any interlibrary loan transaction ends with the provision of holdings information.

CDLC transmission to the State Library in behalf of its member libraries began in August, 1975. All New York State Library and NYSILL requests received at the Council are on CDLC/NYSILL forms and contain complete bibliographic information in NYSILL format.

These requests are delivered to CDLC daily by the courier service and are immediately searched in either the CDLC union catalog, the master serials list or on the OCLC terminal for local locations. If there is a local location, the requesting library is notified by phone and given a report of this location. If the item is not available locally, CDLC staff checks over the form, assigns a NYSILL request number, and transmits the request via teletype to the State Library. At the conclusion of each CLDC transmission to the State Library, the latter reports back to CDLC on the status of previous NYSILL requests.

In Capital District, seven of the 40 member libraries are allowed to transmit requests directly to the State Library. These are the three public library systems, SUNY at Albany, Union College, the Albany Medical College, and Ellis Hospital. According to the CDLC staff, these libraries usually clear items for local locations through CDLC prior to transmission to NYSILL.

CDLC makes no automatic decision to send requests for materials which are not held locally on to the State Library. Individual member libraries must make this decision, which usually depends upon each library's borrowing policies for its patrons.

CDLC provides courier service for its member libraries by contract with an individual with a van, who travels over 130 miles each week-day, stopping at 32 member libraries and the State Library. Additionally, several members receive bi-weekly delivery and some are "on-demand call-stops." This daily interface with the State Library is a decided advantage to Capital District 3 R's members.

Four of the member libraries are served by the delivery service of two of the public library systems. CLDC's courier delivers materials to the Mohawk Valley Library Association, and to the Southern Adirondack Library System, where it is either delivered elsewhere or picked up by member libraries.

The following paragraphs review the personnel and other resources that are utilized by the CDLC in carrying out its role in regional interlibrary loan.

CDLC's bibliographic center staff consists of a catalog librarian, a serials librarian, an OCLC terminal operator, and either part-time professional, paraprofessional, or student assistants. All of these persons spend some portion of their time on interlibrary loan activities.

CDLC has access to numerous bibliographic resources, including a 700,000 title union catalog (approximately 100,000 titles are added yearly) composed of current monographs acquired after 1968 and the recataloging of previously acquired materials, and an updated master list of serials. Each member library has a three-volume regional Union List of Serials, published in 1973, with a 1500 title supplement which came out in the summer of 1974. In addition to these sources of holdings information, CLDC is in the process of building up its in-house bibliographic references. German, French and Spanish Books in Print are either available at the Center or are on order. Standard verification tools such as the Cumulative Books Index, Books in Print, the National Union Catalog, and the Mansel edition of the National Union Catalog are in the bibliographic center's collection. State Library serial holdings, the union lists of other 3 R's regions, the SUNY statewide union list, Linda Hall union list, Cornell's union list, and the Cambridge University union list are also available at CDLC headquarters.

Member libraries within this region also have access to a number of data banks. These include: Medlars, Medline, AVline, BMC, ERIC, Serline, Toxline, Psychological Abstracts, BIOSIS, Cancerline, RECON/ERDA, the New York Times Information Bank, SUNY Biomedical Communications Network, Biological Abstracts, and data banks located at Lockheed, the Systems Development Corporation, NASA, and the Defense Documentation Center. In addition, 13 member libraries have access to OCLC information.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

The Southeastern New York Library Resources Council is headquartered in downtown Poughkeepsie. Its bibliographic center (SEBC) occupies space on the second floor of the SUNY College at New Paltz library.

Interlibrary loan processing by Southeastern's bibliographic center begins with the receipt of loan requests in one of four ways. The majority of requests from the special and academic libraries are received by mail on a SEBC form. (Appendix D contains a sample of this form, which has been designed in the NYSILL request format to facilitate transmission to the State Library.) Academic institutions which are visited frequently by the delivery service including Vassar College, Marist College, Bard College, and, at times, the U.S. Military Academy at West Point -- often send their requests, on the standard form, via the delivery truck.

The two public library systems, Mid-Hudson and Ramapo Catskill, always communicate their requests to the center via teletype. Both transmit requests daily at specified times using a format identical to that on the SEBC/NYSILL form.

Occasionally, smaller member institutions or academic libraries with "urgent" requests may telephone their requests to the bibliographic center. The request information is copied onto a special telephone form and, if later referred to NYSILL, transferred onto a standard SEBC form. (A sample of the telephone form is also included in Appendix D.)

Several working files are maintained by SEBC staff during the loan processing procedure: (1) requests to be searched in the SUNY College at New Paltz catalog, (2) requests for which telephone or teletype inquiries are to be made, (3) requests for which telephone or teletype inquiries have been made and are awaiting a reply, (4) requests to be sent to NYSILL, and (5) completed requests.

The search process for all incoming monograph requests begins with the daily search of the SUNY College at New Paltz collection. An SEBC clerk searches the item in the College's card catalog and, if held, locates it on the shelf, checks it out at the circulation desk or makes the necessary photocopies, prepares a record of the transaction for the College library files and packages the item for delivery. Some of the requests which are unavailable at SUNY College at New Paltz are delivered twice weekly to Vassar College. A student at Vassar, employed part-time by SEBC, searches these requests and delivers any located items to the Vassar interlibrary loan office. Vassar personnel then make the decision whether or not to loan the item and, if so, handle the remainder of the transaction.

Once these two libraries have been searched, the search process becomes, to a great extent, a case of relying upon the knowledge of the SEBC interlibrary loan librarian, who makes educated guesses concerning the possible location of requested monograph items. This librarian utilizes the files of previously requested items, a small SEBC union catalog, and the OCLC terminal in attempting to locate requested items. Inquiries to potential holding libraries are made once or twice each week, principally by telephone but also by mail since a few libraries, such as Marist College and the U.S. Military Academy, prefer this mode of referral receipt.

Serial requests are searched in the Southeastern Union List of Serials. If not found in the union list, serial requests are searched in other union lists, verified, and referred to the State Library.

Replies to SEBC's inquiries of the member libraries are received daily at the center. In all but three cases, the responding member library telephones SEBC with its reply. Sullivan Community College replies by mail, and the Rockland and Orange County community colleges wait until SEBC staff telephone them with a new set of inquiries to make their reply.

The bibliographic center staff communicates the results of request searches in one of two ways. For academic and special libraries, SEBC staff mail one part of the four-part SEBC form to indicate which member library is sending the item, unless the requested item was located at SUNY College at New Paltz, in which case the form is placed with the item and delivered to the requesting library. Results of searches for requests from the public library systems are sent by teletype during the daily transmission.

After SEBC request notification, the rest of the interlibrary loan transaction is handled by the borrowing and lending libraries, with the exception of SUNY College at New Paltz loans which, as noted, are processed by SEBC staff. Lending libraries send the requested item directly to the borrowing libraries by mail or delivery truck. All matters relating to renewals and overdue books are handled directly by the borrowing and lending libraries.

Special and academic library monograph requests which cannot be located within the region, and serial requests which cannot be filled by any member library are automatically referred to the State Library by SEBC. Public library requests which cannot be located in the region are reported back to the public library systems and the systems refer their own requests directly to the State Library for NYSILL processing.

Recordkeeping in this 3 R's region is facilitated by the standard color-coded SEBC/NYSILL form. SEBC maintains its working files, its yearly files and its interlibrary loan statistics by means of this form.

A delivery service is provided the member libraries under a contractual arrangement with the two public library systems. The Mid-Hudson Public Library System picks up items from SUNY College at New Paltz three days each week and makes delivery stops at Mid-Hudson public libraries and 3 R's member libraries located north of New Paltz and on the Poughkeepsie side of the Hudson River. The Ramapo Catskill Public Library System picks up items twice each week and delivers to RCLS public libraries and some 3 R's member libraries in Sullivan, Orange and Rockland Counties. SEBC staff package all materials sent by delivery and handle the interchange of items between the two public library systems. At times, SEBC staff will check on proper routing of items in the delivery, such as materials which should have been mailed directly to a NYSILL or other lending library. The larger libraries, such as those at Vassar, Marist and Bard colleges, receive regular deliveries two to three times per week, while the smaller member libraries receive delivery on a "call-stop" basis.

The following paragraphs review the personnel and other resources that are utilized by SEBC in carrying out its role in regional interlibrary loan processing.

The bibliographic center professional staff consists of a full-time interlibrary loan librarian and an OCLC librarian who also assists with interlibrary loan activity. One full-time clerk at New Paltz and two part-time clerks -- one at New Paltz and one at Vassar College -- assist in the search for materials and with the majority of clerical tasks. In addition, the regional 3 R's director and the director's secretary provide other backup assistance to the interlibrary loan program.

Besides having its own Union List of Serials, OCLC terminal, a Directory of Area Resources and Subject Strengths, and the beginnings of a union catalog, SEBC has access to all of SUNY College at New Paltz's bibliographic and reference resources.

Member libraries in this region have direct access to a number of data banks. These include: Medlars, Medline, AVline, BMC, ERIC, Toxline, CARDSET, and CAIN. All member libraries also have access to OCLC information through SEBC or directly.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

The headquarters of the Long Island Library Resources Council, Inc. (LILRC) is located in the Suffolk Cooperative Library System building in Bellport. From this location, the Information Network Service (INS) staff, LILRC's interlibrary loan unit, carries out its interlibrary loan processing activities.

Interlibrary loan requests are received at INS in four ways: by teletype, mail, telephone, or by the delivery service. The Nassau Public Library System and the large academic institutions, such as SUNY at Stony Brook, Hofstra University and Adelphi University, use teletype to communicate with LILRC. Occasionally, Long Island Jewish Hospital will also send their requests via teletype. Institutions which request via teletype each have their own standard format. Grumman, Brookhaven Laboratory, Nassau and Suffolk community colleges, and Cold Spring Harbor Laboratories usually send requests by mail, varying in format from typewritten lists to LILRC's own interlibrary loan form. (Appendix D contains a sample of this form.) Telephone requests, although now generally discouraged at LILRC because of the increased volume of requests handled, are made by SUNY College at Farmingdale, Dowling College, New York Institute of Technology, Burns and Roe, and other smaller industrial libraries with a low volume of requests. The Suffolk Cooperative Library System usually walks their requests over to LILRC since they share the same building. C.W. Post most often sends its requests via the delivery service. Every request which is received at LILRC is copied onto the LILRC form, which is used both as a documentation and as a communication device.

All monograph requests are searched in the microfilmed card catalogs of the various member institutions. Thirty-four card catalogs, including the two public library systems union catalogs, have been microfilmed for use by INS staff in processing interlibrary loans. Items which cannot be located among LILRC member library holdings, if eligible, are referred to the State Library by INS for all member libraries except the two public library systems, Hofstra University, SUNY at Stony Brook, and Brookhaven Laboratories, which have direct teletype access to the State Library. If the item requested has been published recently, teletype or telephone inquiries may be made to several of the larger member libraries to check their current acquisitions.

The sequence of search for monograph requests is determined largely by the nature of the requested material. Obvious public library titles are searched first in one of the public library systems' microfilmed card catalogs. Otherwise, the normal sequence of search is Adelphi University, Hofstra University and SUNY at Stony Brook, then the smaller academic institutions such as C.W. Post and the New York Institute of Technology. Depending upon the nature of the request, the microfilmed card catalogs of the specialized industrial, medical or technical member libraries are also searched.

Results of the search of the microfilmed card catalogs of the special and academic institutions are noted on the list of microfilmed locations on the LILRC form. Once an inquiry is made by INS staff of a potential lending library, that location is also noted on the LILRC form along with the date the inquiry was made and the request number. Later, the reply and date of reply are added to the form by the INS staff.

If a requested item is located among the monograph holdings of one of the public library systems, all public libraries in that system which own the item are noted on the referral form. INS staff then telephone each location until they are able to locate a public library at which the item is available. Loaned items are sent through the public library system to INS and on to the requesting institution.

Serial requests are first searched in the Nassau/Suffolk Union List of Serials. If the item is not available on Long Island, INS staff will search the SUNY List of Serials, the New York State Union List of Serials, the national Union List of Serials and New Serial Titles, before sending the request on to the State Library. Medical requests are searched in a specialized union list, Serials in Long Island Health

Science Libraries. The inquiry and notification procedures for serial requests follow the same general pattern as for monograph requests, with most of the lending institutions providing the photocopy service.

Requesting libraries are notified of the final status of the INS search effort when they either receive the item or are contacted by the INS staff. With very few exceptions, the method of communication between INS staff and Council members is standard. Inquiries to the various institutions regarding the availability of items for loan, replies back to LILRC regarding those specific inquiries, and the notification to the requesting library of the final status of an item are all made in the same manner in which requests are sent to the Council by the libraries involved. If the member institution normally communicates with the LILRC staff via mail, then all communications regarding potential loans from that institution, replies to inquiries of availability, or the status of items requested by that institution will also be by mail.

Prior to the establishment of the microfilm search process at LILRC, interlibrary loan searching was primarily a matter of a combination of trial and error and educated guesses on the part of INS staff, given their knowledge of the nature of member library collections. During this period of activity, it was not unusual for INS staff to make an average of five inquiries to locate an item. At present, with the availability of the microfilmed catalogs, staff members are able to search the request in the microfilm the same day, or at the latest, the next morning. Total time now required to process a request is primarily dependent upon the speed with which the potential lending library replies to LILRC concerning the availability of a requested item.

LILRC provides delivery service to its member libraries by employing a leased car and two part-time drivers who leave daily from the SUNY College at Farmingdale campus. The delivery service stops daily at large member institutions while smaller institutions are served on a "call-stop" basis. This service also makes a daily stop at LILRC headquarters in Bellport to collect interlibrary loan forms for items to be collected at lending institutions and to sort items collected during that day's travel for the next day's delivery.

The following paragraphs describe the personnel and other resources that are utilized by the Council headquarters in carrying out its role in regional interlibrary loan processing.

The Information Network Service is staffed by three clerks, one full-time and two part-time, who are under the direction of a professional librarian. The director of LILRC and the financial clerk devote a small portion of their time to the INS function. The two delivery service drivers are also INS staff members.

The bibliographic tools available at LILRC are the regional *Union List of Serials* and the microfilm of the catalogs of 34 member libraries' collections. In addition to these Long Island resources, INS staff also have access to the *SUNY Union List of Serials*, the *New York State Union List*, the *Long Island Health Sciences Union List*, the national *Union List of Serials*, and the use of the reference room of the Suffolk Cooperative Library System, which contains a general but quite complete bibliographic collection.

Member libraries in this region have access to a large number of individual data banks. These include: Medlars, Medline, AVline, ERIC, Serline, Toxline, Psychological Abstracts, BIOSIS, Cancerline, Catline, Chemline, AMC Periodical Bank, New York Times Data Bank, NTIS, NAL/CAIN, SOC, RECON, DDC, and the Lockheed Information System which includes 27 data banks. Grumman Aerospace Laboratories alone has access to SCISEARCH, LIBCON, Compendex, POLLUTION, INFORM, CHEMCON, F&S Indexes, SEARCH, CMA, SSIE, and Matrix. Five academic libraries have access to OCLC information. A steadily growing demand in the region for medical materials has made access to the Regional Medical Network of increasing importance. A number of member libraries have access to this network through the Medical Research Library in Brooklyn, although there is a quota on the number of items which may be borrowed from that source.

SECTION III

REGIONAL INTERLIBRARY LOAN FUNDING

This section reviews the nature of the State's special support of regional interlibrary loan processing in the Western and Rochester regions, and discusses the impact of this funding on the requirements for expenditures by the Councils themselves to support regional interlibrary loan.

The special funding of regional interlibrary loan by the State has taken the form of contract payments to "regional resource" libraries within the Western and Rochester regions. The Buffalo and Erie County Public Library and the SUNY at Buffalo libraries in the Western region, and the University of Rochester libraries in the Rochester region, are reimbursed directly by the State Education Department for the services they provide in processing and filling interlibrary loan requests for their respective 3 R's Councils. The nature of these contract payments is as follows: Each regional resource library receives an annual $3,300 participation grant. 1/ In addition, each receives a unit referral payment of $1.00 for each request searched, $2.00 for each request filled, and a $2.00 "extra fill fee" for photocopying serial requests which are from 13 to 24 pages in length. These contract payments are made directly by the State Education Department to the participating libraries. The 3 R's Councils themselves do not receive any of these funds, nor are they provided with information concerning the amount of these payments each year.

The Rochester 3 R's Council has its own agreement with the Rochester Public Library whereby the Council pays the Library a fee of $1.30 per transaction for processing interlibrary loan requests. There is no additional payment for filling requests under this particular contractual arrangement.

These four regional resource libraries, which are reimbursed either by the State Education Department or the Rochester 3 R's Council, are the only libraries in the five 3 R's Councils under study that are compensated for their participation in regional interlibrary loan processing. Other member libraries in the Western and Rochester regions, and 3 R's Council member libraries in the Capital District, Southeastern

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1/ The Buffalo and Erie County Public Library receives a $5,000 participation grant for serving as both a regional resource library and a NYSILL area referral library.

and Long Island regions do not receive special State or Council funds for their regional interlibrary loan processing activities. Several of the member libraries of these Councils have indicated, however, that their participation in the regional interlibrary loan program as lending libraries represents a financial burden to their parent institutions. The fact that particular 3 R's Councils do not use Council funds to reimburse member libraries may reflect the absence of libraries in the region able to serve as regional resources, the lack of Council funds, and/or the unwillingness of member libraries to serve as contract resource libraries.

Exhibit III-1 shows the relationship between the interlibrary loan-related expenditures of each 3 R's Council (i.e., excluding the State's contract payments) and the total annual outlays of the five Councils.

EXHIBIT III-1

RELATIONSHIP BETWEEN INTERLIBRARY LOAN EXPENDITURES AND TOTAL EXPENDITURES IN THE FIVE COUNCILS UNDER STUDY

	Total Expenditures 1974 or 1974/75	Interlibrary Loan-Related Expenditures 1974 or 1974/75	ILL Expenditures As a Percent of Total
Western	$ 83,099	$ 30,104	36.2%
Rochester	105,467	37,513	35.6
Capital District	151,992	72,096	47.4
Southeastern	90,116	45,014	50.0
Long Island	102,233	53,042	51.9

Total annual regional interlibrary loan-related expenditures range from $30,100 to $72,100 in the five 3 R's Councils under study, and account for approximately 36 percent of total Council expenditures in the two funded regions, and approximately 50 percent of total Council expenditures in the three non-funded regions. As the exhibit illustrates, the contract payments made by the State to the regional resource libraries in the Western and Rochester regions allow these Councils to allocate a significantly smaller portion of their budgets to the support of regional interlibrary loan than the non-funded regions must allocate.

One of the five 3 R's Councils under study, the Long Island Library Resources Council, Inc., has instituted a fee structure for the interlibrary loan processing services it provides, to help finance regional interlibrary loan. Under this fee structure, the Council charges borrowing member libraries $2.00 for every request processed by LILRC's interlibrary loan staff that is eventually filled. This charge can be offset by a $1.00 credit extended by the Council for each item loaned by the member library in response to a LILRC referral. The Council does not pay cash to member libraries who lend considerably more than they borrow, but the member libraries are allowed to accumulate up to $100 of credits during any billing period for items loaned. The credits accumulated up to $100 can be drawn upon to pay the $2.00 per request fill charges incurred during the following billing period.

The $2.00 charge imposed by the Council for filled requests is applied regardless of where the request is filled. This practice greatly discourages the member libraries from using the Council to process requests that are likely to be filled by the State Library, a NYSILL referral library or some other library outside the region, since the member libraries can generally draw upon these resources, directly or indirectly, without incurring LILRC's $2.00 fill charge so long as they by-pass LILRC. This increases the likelihood that requests that could be filled in the region are being referred outside the region by the member libraries in order to avoid the Council's fee.

PART TWO

EXTENT AND NATURE OF REGIONAL INTERLIBRARY LOAN IN THE FIVE REGIONS UNDER STUDY

SECTION I

VOLUME AND PATTERNS OF REGIONAL INTERLIBRARY LOAN

To what extent are member libraries using their 3 R's Councils to process or help process interlibrary loan requests? To what extent and for what reasons are member libraries dealing directly with each other in attempting to fill interlibrary loan requests, without utilizing the services of their 3 R's Councils? To what extent and for what reasons are member libraries referring loan requests directly to the State Library, or to libraries outside their 3 R's region, for possible filling? This section reports on the number of interlibrary loan requests that are generated each year at member libraries in the five regions under study, and explores the ways in which member libraries attempt to fill these requests. 1/

All member library interlibrary loan activity during 1974 or 1974/75 in the five 3 R's regions has been categorized as follows: (1) requests which the member library referred directly to other member libraries within the 3 R's region for possible filling; (2) requests which the member library referred directly to libraries outside the 3 R's region or outside the State for filling: (3) requests which the member library referred directly to the State Library for processing as NYSILL requests; and (4) requests which the member library referred to the 3 R's Council's interlibrary loan unit for locations information or for processing as regional interlibrary loan requests. As previously indicated, options (1) and (4) represent regional interlibrary loan activity, inasmuch as they are attempts to utilize library resources within a region to fill requests for library materials from patrons in the region before accessing resources outside the region. Options (2) and (3) represent extra-regional interlibrary loan activity, inasmuch as they are attempts to utilize library resources outside a region to fill requests for library materials from patrons in the region before accessing resources in the region.

In order to ascertain the size and relative significance of the use of these four options, a questionnaire was mailed to each member library in the five regions. (Appendix A includes a copy of this questionnaire.) The member libraries were asked to provide actual interlibrary loan statistics by referral pattern, or -- if such statistics were unavailable -- to estimate the percentage of requests by referral pattern that they

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1/ Throughout this study, the public library system member of the 3 R's Council is considered as one member library, although it represents many individual public libraries, some of whom may also be Council members. All interlibrary loan between individual public libraries and the 3 R's Council's interlibrary loan unit is cleared and channeled through the public library system's interlibrary loan staff.

had originated during 1974, or their most recent twelve month reporting period. Each library was also asked to identify the circumstances under which it referred requests directly to other member libraries within the region, to specify the libraries to which it regularly referred a sizeable portion of its requests, and to identify whether and why it ever made interlibrary loan requests directly to the State Library, or to other libraries outside the 3 R's region.

In addition to this questionnaire survey of member libraries, on-site visits were held with 3 R's Council staff in each of the five study regions to obtain their perspective on the volume and patterns of member library interlibrary loan in the region. Each 3 R's Council's annual interlibrary loan statistics were reviewed. Referral pattern information was also derived from the analysis of the sample of interlibrary loan requests drawn for this study.

The sub-sections which follow report the results of these data gathering efforts.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

At the time of the questionnaire distribution, there were 51 member libraries listed in the 1974 Western 3 R's Council directory, of whom 43 (86 percent) returned a completed questionnaire. The member libraries that failed to return a Member Library Questionnaire were: Buffalo General Hospital School of Nursing Library, Niagara University, Trocaire College, Airco Speer Research Library, Hooker Chemical Corporation Library, Sierra Research Corporation Library, West Seneca State School Medical Library.

Forty-two of the responding member libraries reported that they had originated a total of 53,002 regional and extra-regional interlibrary loan requests during 1974. The other responding member library reported that it did not originate any interlibrary loan requests that year. Of the 53,002 requests originated by the responding member libraries, 8,305 (16 percent) were generated by the three public library systems, 24,671 (46 percent) were generated by 18 academic libraries, and 20,026 (38 percent) were generated by 21 special libraries in the region. 1/

1/ The statistic for the public library systems does not include interlibrary loan activity between the public libraries within each system. This statistic represents the number of interlibrary loan requests generated by the public libraries in each system that could not be filled within the system and were therefore referred to resources outside the public library systems.

Exhibit I-1 shows the extent to which the responding member libraries in the Western region use each of the four referral options in attempting to fill interlibrary loan requests they originate for their patrons. As the exhibit indicates, almost all (38) of the member libraries sometimes refer requests to the Western 3 R's Council; a majority sometimes refer requests directly to other member libraries in the region, or to libraries outside the region (22 and 26, respectively); and, a relatively small number (9) of the member libraries reported that they sometimes refer requests directly to the New York State Library.

Clearly, the member libraries in the region do not restrict themselves to any particular referral option in attempting to fill the interlibrary loan requests originated for their patrons. During 1974, the member libraries referred 21,526 (41 percent) of the total reported volume of requests directly to the 3 R's Council for processing within the region; 13,189 (25 percent) of the total volume directly to other libraries in the region for filling; 11,161 (21 percent) of the total volume directly to libraries outside the region for filling; and 6,521 (12 percent) of the total volume of requests directly to the State Library for filling and/or processing in the NYSILL network.

The public library systems in the Western region reported that they had referred 72 percent of their interlibrary loan requests in 1974 to the 3 R's Council for processing. Fifteen (15) percent of their requests were referred directly to the State Library for filling and/or processing in the NYSILL network. 1/ The remaining 13 percent of requests originating in the public library systems in 1974 were referred to libraries outside the Western region for filling. The three public library systems reported no direct referrals to other libraries in the Western region.

The academic libraries in the Western region reported that they had referred 45 percent of their interlibrary loan requests in 1974 to the 3 R's Council for processing. Thirty-five (35) percent of their requests were referrred to libraries outside the Western region for filling, and 17 percent were referred directly to the State Library for filling and/or processing in the NYSILL network. 2/ The remaining 3 percent of the requests originating in academic libraries in 1974 were referred directly to other libraries in the Western region.

1/ Each of the public library systems has direct access to the State Library.

2/ Three of the academic member libraries in the region have direct teletype access to the State Library.

EXHIBIT I-1

RELATIVE USE OF FOUR INTERLIBRARY LOAN REFERRAL OPTIONS

WESTERN NEW YORK 3 R'S REGION 1/

1974

OPTION / TYPE OF LIBRARY	DIRECT W/IN REGION			NYSL			DIRECT OUTSIDE			3 R'S			TOTAL		
	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%
Public Library Systems	0	0	0.0 0.0	3	1,236	14.9 19.0	2	1,049	12.6 9.4	3	6,020	72.5 28.0	3	8,305	100.0 15.8
Academic	6	736	3.0 5.6	4	4,193	17.1 64.3	10	8,512	34.8 76.3	15	11,027	45.1 51.2	17	24,468	100.0 46.7
Special	16	12,453	63.5 94.4	2	1,092	5.6 16.7	14	1,600	8.1 14.3	20	4,479	22.8 20.8	20	19,624	100.0 37.5
Total	22	13,189	25.2 100.0	9	6,521	12.4 100.0	26	11,161	21.3 100.0	38	21,526	41.1 100.0	40	52,397	100.0

1/ Data presented is for 40 of the 42 member libraries reporting interlibrary loan activity. The other two member libraries did not report their volume of interlibrary loan activity by referral option.

The referral pattern reported by the special libraries in the Western region is markedly different from that reported by the academic libraries or public library systems. Only 23 percent of special library interlibrary loan requests in 1974 were referred to the 3 R's Council for processing, whereas 64 percent were referred directly to other libraries in the region. Eight (8) percent of the requests originating at special libraries in 1974 were referred to libraries outside the Western region, and 6 percent were reported as having been referred directly to the State Library for filling and/or processing in the NYSILL network, although none of the special libraries in the Western region have direct teletype access to the State Library.

The differences in the relative use of the various referral options by the three types of libraries in the Western region can be related to a number of factors. For example, although all member libraries are encouraged to make direct referrals to other libraries in the region for serial material listed in the regional Union List of Serials, the three types of libraries differ in the extent to which they originate interlibrary loan serial requests. Academic and special libraries evidence more direct borrowing from libraries in the region than do the public library systems, in part because academic and special libraries originate more serial requests than do the public library systems. In all three types of libraries, monograph requests are most likely to be referred to the 3 R's Council for processing in the region and/or for referral by the Council to the State Library.

Reasons cited by member libraries for making direct referrals to libraries in the region were: for serial materials listed in the regional Union List of Serials; 1/ for speed of service; to access special collections likely to contain the desired item; and, to access the statewide regional medical library network through another library in the region.

Several small industrial and medical libraries in the region have exchange agreements under which they refer requests directly to one another. The five health-related libraries in the region 2/ also rely substantially on the direct referral in attempting to fill interlibrary loan requests originated for their patrons. In fact, these libraries accounted for over 80 percent of all the direct referrals within the region reported by the responding member libraries. Conversely, these five libraries refer a small percentage of their interlibrary loan requests to the 3 R's Council for processing. The proportion in 1974 was 7 percent, compared to the region-wide average of 41 percent being referred to the 3 R's Council.

1/ Since the Western region's Union List of Serials is quite dated, being five years old, this cited reason is the cause for direct borrowing less often than would be the case if the region re-issued its Union List.

2/ These libraries are: Buffalo General Hospital Aaron Library, Children's Hospital Library, Edward J. Meyer Memorial Hospital Library, Roswell Park Memorial Institute Library and SUNY at Buffalo Health Sciences Library.

The reasons cited by the member libraries for making direct referrals outside the region were: to obtain theses or dissertations; to access special collections outside the region likely to contain the desired item; to access resource systems, such as the SUNY libraries network; and, to obtain material identified in bibliographic sources, or identified by the patron, as being held at a specific library outside the region. The availability of extra-regional bibliographic tools -- such as union lists, union catalogs, an OCLC terminal, etc. --in a member library increases the tendency of the member library to refer its interlibrary loan requests directly to potential lending institutions outside the region.

When member libraries use the 3 R's Council to help process an interlibrary loan request in the Western region, it is almost always at the point of first referral rather than on a subsequent referral of a request that was initially referred elsewhere. The likelihood of referral of interlibrary loan requests to the 3 R's Council is increased by the expressed preference of one of the regional resource libraries, the SUNY at Buffalo libraries, that the Council members access its collections through the Council, rather than directly.

In the Western region, a very small percentage (2.3 percent) of all first referrals by the member libraries represents referrals to the State Library directly. 1/

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

At the time of the questionnaire distribution, there were 36 member libraries listed in the 1974 Rochester 3 R's Council directory, of whom 35 (97 percent) returned a completed questionnaire. The member library that failed to return a Member Library Questionnaire was Roberts Weselyan College Library.

The responding member libraries reported that they originated a total of 45,590 regional and extra-regional interlibrary loan requests during 1974. Of the 45,590 requests originated by the responding member libraries, 3,289 (7 percent) were generated by the one public library system, 15,204 (33 percent) were generated by 11 academic libraries, and 27,440 (60 percent) were generated by 23 special libraries in the region. 2/ This region is heavily weighted in terms of special library interlibrary loan activity.

1/ This statistic was derived from the analysis of the sample of member library interlibrary loan requests drawn for this study.

2/ The statistic for the public library system does not include interlibrary loan activity between the public libraries within the system. This statistic represents the number of interlibrary loan requests generated by the public libraries in the system that could not be filled within the system and were therefore referred to resources outside the public library system.

Exhibit I-2 shows the extent to which the responding member libraries in the Rochester region use each of the four referral options in attempting to fill interlibrary loan requests they originate for their patrons. As the exhibit indicates, almost all (32) of the member libraries sometimes refer requests to the 3 R's resource libraries; a majority sometimes refer requests directly to other member libraries in the region, or to libraries outside the region (25 and 23, respectively); and, a very small number (5) of the member libraries reported that they sometimes refer requests directly to the New York State Library.

Clearly, the member libraries in the region do tend to restrict themselves to a particular referral option in attempting to fill the interlibrary loan requests originated for their patrons. During 1974, the member libraries referred 32,068 (71 percent) of the total reported volume of requests to the 3 R's resource libraries for processing within the region; 6,281 (14 percent) of the total volume directly to other libraries in the region for filling; 6,294 (14 percent) of the total volume directly to libraries outside the region for filling; and 715 (2 percent) of the total volume of requests directly to the State Library for filling and/or processing in the NYSILL network.

The public library system in the Rochester region reported that it had referred 98 percent of its interlibrary loan requests in 1974 to the other regional 3 R's backup library for processing. One percent of its requests were referred directly to the State Library for filling and/or processing in the NYSILL network. 1/ The remaining one percent of requests originating in the public library system in 1974 was referred to libraries outside the Rochester region for filling. The public library system reported no direct referrals to other libraries in the Rochester region.

The academic libraries in the Rochester region reported that they had referred 51 percent of their interlibrary loan requests in 1974 to the 3 R's Council (i.e., the regional resource libraries) for processing. Twenty-three (23) percent of their requests were referred to libraries outside the Rochester region for filling, and five percent were referred directly to the State Library for filling and/or processing in the NYSILL network. 2/ The remaining 21 percent of requests originating in academic libraries in 1974 were referred directly to other libraries in the Rochester region

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1/ The public library system has direct access to the State Library.

2/ Only one of the academic member libraries in the region has direct teletype access to the State Library.

EXHIBIT I-2

RELATIVE USE OF FOUR INTERLIBRARY LOAN REFERRAL OPTIONS

ROCHESTER 3 R'S REGION [1/]

1974

OPTION / TYPE OF LIBRARY	DIRECT W/IN REGION			NYSL			DIRECT OUTSIDE			3 R's*			TOTAL		
	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%
Public Library Systems	0	0	0.0 0.0	1	33	1.0 4.6	1	33	1.0 0.5	1	3,223	98.0 10.0	1	3,289	100.0 7.2
Academic	9	3,048	20.8 48.5	2	674	4.6 94.3	9	3,415	23.3 54.2	10	7,502	51.3 23.4	10	14,639	100.0 32.3
Special	16	3,233	11.8 51.5	2	8	0.0 1.1	13	2,846	10.4 45.2	21	21,343	77.8 66.6	22	27,430	100.0 60.5
Total	25	6,281	13.8 100.0	5	715	1.6 100.0	23	6,294	13.9 100.0	32	32,068	70.7 100.0	33	45,358	100.0

[1/] Data presented is for 33 of the 35 member libraries reporting interlibrary loan activity. The other two member libraries did not report their volume of interlibrary loan activity by referral option.

* Referrals to the two regional resource libraries.

The referral pattern reported by the special libraries in the Rochester region is quite similar to that reported by the academic libraries and public library system. Nearly 78 percent of special library interlibrary loan requests in 1974 were referred to the 3 R's Council (i.e., the regional resource libraries) for processing, whereas 12 percent were referred directly to other libraries in the region. Ten (10) percent of the requests originating at special libraries in 1974 were referred to libraries outside the Rochester region, and less than one percent were reported as having been referred directly to the State Library for filling and/or processing in the NYSILL network, although none of the special libraries in the Rochester region have direct teletype access to the State Library.

The differences in the relative use of the various referral options by the three types of libraries in the Rochester region can be related to a number of factors. For example, although all member libraries are encouraged to make direct referrals to other libraries in the region for serial material listed in the regional Union List of Serials, the three types of libraries differ in the extent to which they originate interlibrary loan serial requests. Academic and special libraries evidence more direct borrowing from libraries in the region than does the public library system, in part because academic and special libraries originate more serial requests than does the public library system. In all three types of libraries, monograph requests are most likely to be referred to the 3 R's Council (i.e., the regional resource libraries) for processing in the region and/or for referral to the State Library.

Reasons cited by member libraries for making direct referrals to libraries in the region were: for serial materials listed in the regional Union List of Serials; for speed of service; to access special collections likely to contain the desired item; and, to access the statewide regional medical library network through another library in the region.

The six health-related libraries in the region 1/ also rely substantially on the 3 R's resource libraries in attempting to fill interlibrary loan requests originated for their patrons. Eighty-six (86) percent of the requests generated by these libraries were referred to the 3 R's resource libraries for processing, and only 11 percent were referred directly to other libraries within the region. A number of the medical libraries in the Rochester region refer requests directly to the Rochester Academy of Medicine, which is not a member of the Rochester 3 R's Council.

1/ These six health-related libraries are associated with the following members: Convalescent Hospital for Children, Eastman Kodak Company Health and Safety Department, Genesee Hospital, Highland Hospital, Rochester General Hospital, and St. Mary's Hospital.

The reasons cited by the member libraries for making direct referrals outside the region were: to obtain theses or dissertations; to access special collections outside the region likely to contain the desired item; to access resource systems, such as the SUNY libraries network or Center for Research Libraries; to access the statewide regional medical library network when the desired item is not available from the within-region network access library; to access libraries at which the institution holds a "deposit account;" and, to obtain material identified in bibliographic sources or identified by the patron as being held at a specific library outside the region.

When member libraries use one of the 3 R's regional resource libraries to help process an interlibrary loan request in the Rochester region, it is almost always at the point of first referral rather than on a subsequent referral of a request that was initially referred elsewhere. Nearly two-thirds of all interlibrary loan requests are intially referred to one of the 3 R's resource libraries.

In the Rochester region, a quite small percentage (5.1 percent) of all first referrals by the member libraries represents referrals to the State Library directly. 1/

CAPITAL DISTRICT LIBRARY COUNCIL

At the time of the questionnaire distribution, there were 40 libraries listed in the 1974 3 R's directory as members of the Capital District 3 R's Council, of whom 35 (88 percent) returned a completed questionnaire. The member libraries that failed to return a Member Library Questionnaire were: Adirondack Community College, Russell Sage College, Samaritan Hospital, Watervliet Arsenal, and the Mohasco Corporation.

Thirty-three of the responding member libraries reported that they had originated a total of 58,019 regional and extra-regional interlibrary loan requests during 1974. The other two responding member libraries reported that they did not originate any interlibrary loan requests that year.

Of the 58,019 requests originated by the responding member libraries, 12,277 (21 percent) were generated by the three public library systems, 30,937 (53 percent) were generated by 16 academic libraries, and 14,805 (26 percent) were generated by 14 special libraries in the region. 2/

1/ This statistic was derived from the analysis of the sample of member library interlibrary loan requests drawn for this study.

2/ The statistic for the public library systems does not include interlibrary loan activity between the public libraries within each system. This statistic represents the number of interlibrary loan request generated by the public libraries in each system that could not be filled within the system and were therefore referred to resources outside the public library system.

Exhibit I-3 shows the extent to which the responding member libraries in the Capital District use each of the four referral options in attempting to fill interlibrary loan requests they originate for their patrons. As the exhibit indicates, a majority (28) of the member libraries sometimes refer requests to the Capital District 3 R's Council for holdings information; all but one (31) sometimes refer requests directly to other member libraries in the region; a majority (24) sometimes refer requests to libraries outside the region; and a majority (23) of the member libraries reported that they sometimes refer requests directly to the New York State Library. 1/

Member libraries in the region do not restrict themselves to any particular referral option in attempting to fill the interlibrary loan requests originated for their patrons. During 1974, member libraries referred 15,093 (27 percent) of the total reported volume of requests directly to the 3 R's Council for regional holdings information; 15,922 (28 percent) of the total volume directly to other libraries in the region for filling; 6,714 (12 percent) of the total volume directly to libraries outside the region for filling; and 18,199 (32 percent) of the total volume of requests directly to the State Library for filling and/or processing in the NYSILL network. Requests referred under the latter three options were not first referred to the 3 R's Council for holdings information.

The public library systems in the Capital District reported that they had referred 36 percent of their interlibrary loan requests in 1974 to the 3 R s Council for holdings information. Fifty nine (59) percent of their requests were referred directly to the State Library for filling and/or processing in the NYSILL network. 2/ They also reported referring four percent of their requests to other libraries in the region The remaining 0.3 percent of the requests orginating in the public library systems in 1974 were referred to libraries outside the Capital District for filling

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1/ Member libraries were asked to report their interlibrary loan activity for 1974. At that time, all Capital District libraries had direct access to the State Library. In August, 1975 this access was limited to seven libraries. All other member libraries now referring requests to the State Library must do so by referring them to the 3 R's Council for transmittal to the State Library.

2/ Each of the public library systems still has direct access to the State Library.

EXHIBIT I-3

RELATIVE USE OF FOUR INTERLIBRARY LOAN REFERRAL OPTIONS

CAPITAL DISTRICT 3 R'S REGION 1/

1974

OPTION	DIRECT W/IN REGION			NYSL			DIRECT OUTSIDE			3 R'S			TOTAL		
TYPE OF LIBRARY	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%
Public Library Systems	2	431	4.2 2.7	2	6,050	59.4 33.2	2	27	0.3 0.4	2	3,678	36.1 24.4	2	10,186	100.0 18.2
Academic	15	9,824	31.8 61.7	12	9,554	30.9 52.5	11	3,819	12.3 56.9	16	7,740	25.0 51.3	16	30,937	100.0 55.3
Special	14	5,667	38.3 35.6	9	2,595	17.5 14.3	11	2,868	19.4 42.7	10	3,675	24.8 24.3	14	14,805	100.0 26.5
Total	31	15,922	28.5 100.0	23	18,199	32.5 100.0	24	6,714	12.0 100.0	28	15,093	27.0 100.0	32	55,928	100.0

1/ Data presented is for 32 of the 33 member libraries reporting interlibrary loan activity. The other member library did not report its volume of interlibrary loan activity by referral option.

The academic libraries in the Capital District reported that they had referred 25 percent of their interlibrary loan requests in 1974 to the 3 R's Council for holdings information. Twelve (12) percent of their requests were referred to libraries outside the Capital District for filling, and 31 percent were referred directly to the State Library for filling and/or processing in the NYSILL network. 1/ The remaining 32 percent of the requests originating in academic libraries in 1974 were referred directly to other libraries in the region.

The referral pattern reported by the special libraries in the Capital District is somewhat different from that reported by the academic libraries or public library systems. Twenty-five (25) percent of special library interlibrary loan requests in 1974 were referred to the 3 R's Council for holdings information, whereas 38 percent were referred directly to other libraries in the region. Nineteen (19) percent of the requests originating at special libraries in 1974 were referred to libraries outside the Capital District, and 18 percent were reported as having been referred directly to the State Library for filling and/or processing in the NYSILL network. 2/

The differences in the relative use of the various referral options by the three types libraries in the Capital District can be related to a number of factors. In the Capital District, interlibrary loan groundrules dictate that member libraries refer all requests directly to other libraries, encouraged by access to an in-house Union List of Serials and free photocopy services, both supplied by the 3 R's Council. The 3 R's Council aids in that process by supplying additional holdings information from its union catalog and updated master serials file. In this region, the 3 R's Council will also supply extra-regional holdings information if available at the bibliographic center. Additionally, until August, 1975, member libraries were allowed direct access to the State Library and could refer requests directly there for filling and/or processing in the NYSILL network. The majority of libraries took advantage of this direct access, which is now available to only seven member libraries.

1/ Three of the academic member libraries in the region now have direct teletype access to the State Library.

2/ One of the special libraries in the Capital District now has direct teletype access to the State Library.

The nine health-related libraries in the region 1/ also rely substantially on direct referral without obtaining holdings information from the 3 R's Council in attempting to fill interlibrary loan requests originated for their patrons These nine libraries refer only a small percentage of their interlibrary loan requests to the 3 R's Council for holdings information. The proportion in 1974 was 10 percent, compared to the region-wide average of 27 percent being referred to the 3 R's Council for this information. These libraries and others within the region access the statewide regional medical network through another library within the region.

The reasons cited by the member libraries for making direct referrals outside the region were: to obtain dissertations; to access special collections outside the region likely to contain the desired item; to access resource systems or technical data banks; and, to obtain material identified in bibliographic sources, or identified by the patron, as being held at a specific library outside the region.

When member libraries use the 3 R's Council to provide holdings information for an interlibrary loan request in the Capital District, it is at the point of first referral rather than on a subsequent referral of a request that was initially referred elsewhere. The likelihood of referral of interlibrary loan requests to the 3 R's Council is increased by the New State Library requirement that the majority of Council members access its collection and those of the NYSILL referral libraries through the Council, rather than directly.

In the Capital District, in 1975, still a large percentage (34.3 percent) of all first referrals by the member libraries represents referrals to the State Library directly. 2/

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

At the time of the questionnaire distribution, there were 53 libraries listed in the 1974 3 R's directory as members of the Southeastern 3 R's Council, of whom 40 (75 percent) returned a completed questionnaire. The member libraries that failed to return a Member Library Questionnaire were: Columbia-Greene Community College, FDR Library, Mid-Hudson Library System, Rockland Community College, U.S. Veterans Administration Hospital, Cornwall Hospital, Horton Memorial Hospital, IBM Systems Development Division, New York State Rehabilitation Hospital, Rockland Children's Psychiatric Hospital, Rockland State Hospital, Semi Films Technology Corporation and Wassaic State School.

1/ These health-related libraries are: Albany College of Pharmacy, Albany Medical College, Ellis Hospital, Hospital Education and Research Fund, New York State Department of Mental Hygiene, St. Mary's Hospital, St. Peter's Hospital, U.S. Veterans Administration Hospital and Sterling-Winthrop Research Institute.

2/ This statistic was derived from the analysis of the sample of member library interlibrary loan requests drawn for this study.

Thirty-Five of the responding member libraries reported that they had originated a total of 38,185 regional and extra-regional interlibrary loan requests during 1974. The other five responding member libraries reported that they did not originate any interlibrary loan requests that year. Of the 38,185 requests originated by the responding member libraries, 17,472 (46 percent) were generated by one public library system, 13,868 (36 percent) were generated by 18 academic libraries, and 6,845 (18 percent) were generated by 20 special libraries in the region. 1/

Exhibit I-4 shows the extent to which the responding member libraries in the Southeastern region use each of the four referral options in attempting to fill interlibrary loan requests they originate for their patrons. As the exhibit indicates, most (32) of the member libraries sometimes refer requests to the Southeastern 3 R's Council; a majority sometimes refer requests directly to other member libraries in the region, or to libraries outside the region (30 and 22, respectively); and, a relatively small number (6) of the member libraries reported that they sometimes refer requests directly to the New York State Library.

Clearly, the member libraries in the region do not restrict themselves to any particular referral option in attempting to fill the interlibrary loan requests orginated for their patrons. During 1974, the member libraries referred 18,673 (49 percent) of the total reported volume of requests directly to the 3 R's Council for processing within the region, 4,551 (12 percent) of the total volume directly to other libraries in the region for filling; 6,691 (18 percent) of the total volume directly to libraries outside the region for filling; and 2,085 (21 percent) of the total volume of requests directly to the State Library for filling and/or processing in the NYSILL network.

The one responding public library system in the Southeastern region reported that it had referred 55 percent of its interlibrary loan requests in 1974 to the 3 R's Council. The remaining 45 percent of its requests were referred directly to the State Library for filling and/or processing in the NYSILL network. 2/ This public library system reported no direct referrals to other libraries either within or outside the Southeastern region.

1/ The statistic for the public library system does not include interlibrary loan activity between the public libraries within the system. This statistic represents the number of interlibrary loan requests generated by the public libraries in the system that could not be filled within the system and were therefore referred to resources outside the public library system.

2/ Both public library systems in the region have direct access to the State Library.

EXHIBIT I-4

RELATIVE USE OF FOUR INTERLIBRARY LOAN REFERRAL OPTIONS

SOUTHEASTERN NEW YORK 3 R'S REGION [1/]

1974

OPTION	DIRECT W/IN REGION			NYSL			DIRECT OUTSIDE			3 R'S			TOTAL		
TYPE OF LIBRARY	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%
Public Library Systems	0	0	0.0 0.0	1	7,866	45.0 97.3	0	0	0.0 0.0	1	9,606	55.0 51.4	1	17,472	100.0 46.0
Academic	15	3,730	27.3 82.0	1	4	0.0 0.0	10	2,965	21.7 44.3	17	6,984	50.9 37.4	17	13,683	100.0 36.0
Special	15	821	12.0 18.0	4	215	3.1 2.7	12	3,726	54.4 55.7	14	2,083	30.4 11.2	16	6,845	100.0 18.0
Total	30	4,551	12.0 100.0	6	8,085	21.3 100.0	22	6,691	17.6 100.0	32	18,673	49.1 100.0	34	38,000	100.0

[1/] Data presented is for 34 of the 35 member libraries reporting interlibrary loan activity. The other member library did not report its volume of interlibrary loan activity by referral option.

The academic libraries in the Southeastern region reported that they had referred 51 percent of the interlibrary loan requests in 1974 to the 3 R's Council for processing. Twenty-two (22) percent of their requests were referred to libraries outside the Southeastern region for filling, and only 4 requests were reported as referred directly to the State Library for filling and/or processing in the NYSILL network. 1/ The remaining 27 percent of the requests originating in academic libraries in 1974 were referred directly to other libraries in the Southeastern region.

The referral pattern reported by the special libraries in the Southeastern region is different from that reported by the academic libraries or responding public library system. Only 30 percent of special library interlibrary loan requests in 1974 were referred to the 3 R's Council for processing, whereas 54 percent were referred directly to other libraries outside the Southeastern region. Twelve (12) percent of the requests originating at special libraries in 1974 were referred to libraries in region, and 3 percent were reported as having been referred directly to the State Library for filling and/or processing in the NYSILL network, although none of the special libraries in the Southeastern region have direct teletype access to the State Library.

The differences in the relative use of the various referral options by the three types of libraries in the Southeastern region can be related to a number of factors. For example, although all member libraries are encouraged to make direct referrals to other libraries in the region for serial material listed in the regional Union List of Serials, the three types of libraries differ in the extent to which they originate interlibrary loan serial requests. Academic and special libraries evidence more direct borrowing from libraries both in and outside the region than does the public library system, in part because academic and special libraries originate more serial requests than the public library system. In all three types of libraries, monograph requests are most likely to be referred to the 3 R's Council for processing in the region and/or for referral by the Council to the State Library. Academic and special member libraries are encouraged to use the 3 R's Council to access the public library systems' monograph collections and vice-versa.

Other reasons cited by member libraries for making direct referrals to libraries in the region were: for serial materials listed in the regional Union List of Serials; for speed of service; and, to access special collections likely to contain the desired item.

1/ None of the academic member libraries in the region has direct teletype access to the State Library.

The eleven health-related libraries in the region 1/ reporting interlibrary loan activity rely substantially on the direct referral to locations outside the region in attempting to fill interlibrary loan requests originated for their patrons. In fact, these libraries referred 62 percent of their referrals to libraries outside the region. They refer an additional 27 percent of their interlibrary loan requests to the 3 R's Council for processing.

The reasons cited by the member libraries for making direct referrals outside the region were: to obtain theses; to access special collections outside the region likely to contain the desired item; to access the statewide regional medical library network through a library outside the region; and, to obtain material identified in bibliographic sources, or identified by the patron, as being held at a specific library outside the region. The availability of extra-regional bibliographic tools -- such as union lists, union catalogs, an OCLC terminal, etc. -- in a member library and the specialization of a library (for example, the U.S. Military Academy refers many requests to other military and academic institutions) increases the tendency of the member library to refer its interlibrary loan requests directly to potential lending institutions outside the region.

When member libraries use the 3 R's Council to help process an interlibrary loan request in the Southeastern region, it is almost always at the point of first referral rather than on a subsequent referral of a request that was initially referred elsewhere. The likelihood of referral of interlibrary loan requests to the 3 R's Council is increased by the fact that only the two public library systems may directly access the State Library directly. All other Council members must access these collections through the Council, rather than directly.

In the Southeastern region, a rather high percentage (18.5 percent) of all first referrals by the member libraries represents referrals to the State Library directly. 2/

1/ The health-related libraries are: Vassar Brothers Hospital, Benedictine Hospital, Harlem Valley Psychiatric Center, Dutchess County Mental Health Library, Psychiatric Epidemiology Research Unit, Columbia Memorial Hospital School of Nursing, Helen Hayes Hospital, Institute of Environmental Medicine, St. Luke's Hospital, Arden Hill Hospital and St. Francis Hospital.

2/ This statistic was derived from the analysis of the sample of member library interlibrary loan requests drawn for this study.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

At the time of the questionnaire distribution, there were 50 libraries listed in the 1974 3 R's directory as members of the Long Island 3 R's Council, of whom 34 (68 percent) returned a completed questionnaire. 1/ The member libraries that failed to return a Member Library Questionnaire were: C.W. Post, Central Islip State Hospital, Long Island Jewish-Hillside Medical Center, Nassau County Medical Center, New York Institute of Technology, South Nassau Community Hospital, SUNY College at Old Westbury, U.S. Veterans Administration Hospital, Empire State College-Long Island Learning Center, Frequency Electronics, Inc., General Instrument Corporation, Kollsman Instrument Corporation, PRD Electroncis, Inc., Radiation Dynamics, Inc., St. John's Smithtown Hospital and Sperry Rand Corporation.

Thirty of the responding member libraries reported that they had originated a total of 44,032 regional and extra-regional interlibrary loan requests during 1974. The other four responding member libraries reported that they did not originate any interlibrary loan requests that year. Of the 44,032 requests originated by the responding member libraries, 21,209 (48 percent) were generated by the two public library systems, 16,757 (38 percent) were generated by 12 academic libraries, and 6,066 (14 percent) were generated by 17 special libraries in the region. 2/

Exhibit I-5 shows the extent to which the responding member libraries in the Long Island region use each of the four referral options in attempting to fill interlibrary loan requests they originate for their patrons. As the exhibit indicates, most (25) of the member libraries sometimes refer requests to the Long Island 3 R's Council; a majority sometimes refer requests directly to other member libraries in the region, or to libraries outside the region (21 and 20, respectively); and, a relatively small number (9) of the member libraries reported that they sometimes refer requests directly to the New York State Library.

1/ In the Long Island region, a large number of individual public libraries are members of the Council. These libraries, but not the two public library systems, were excluded from this survey.

2/ The statistic for the public library systems does not include interlibrary loan activity between the public libraries within each system. This statistic represents the number of interlibrary loan requests generated by the public libraries in each system that could not be filled within the system and were therefore referred to resources outside the public library system.

EXHIBIT I-5

RELATIVE USE OF FOUR INTERLIBRARY LOAN REFERRAL OPTIONS

LONG ISLAND 3 R'S REGION [1/]

1974

OPTION / TYPE OF LIBRARY	DIRECT W/IN REGION			NYSL			DIRECT OUTSIDE			3 R'S			TOTAL		
	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%	# of Libs.	Vols.	%
Public Library Systems	2	2,010	9.5 42.6	2	17,057	80.4 69.6	2	205	1.0 3.8	2	1,937	9.1 22.1	2	21,209	100.0 48.9
Academic	7	1,888	11.3 40.0	3	6,644	39.6 27.1	7	3,198	19.1 59.7	10	5,027	30.0 57.3	12	16,757	100.0 38.7
Special	12	824	15.4 17.4	4	786	14.6 3.2	11	1,953	36.4 36.5	13	1,803	33.6 20.6	15	5,366	100.0 12.4
Total	21	4,722	10.9 100.0	9	24,487	56.5 100.0	20	5,356	12.4 100.0	25	8,767	20.2 100.0	29	43,332	100.0

[1/] Data presented is for 29 of the 30 member libraries reporting interlibrary loan activity. The other member library did not report its volume of interlibrary loan activity by referral option.

Clearly, the member libraries in the Long Island region do not restrict themselves to any particular referral option in attempting to fill the interlibrary loan requests originated for their patrons. During 1974, the member libraries referred 8,767 (20 percent) of the total reported volume of requests directly to the 3 R's Council for processing within the region; 4,722 (11 percent) of the total volume directly to other libraries in the region for filling; 5,356 (12 percent) of the total volume directly to libraries outside the region for filling; and 24,487 (56 percent) of the total volume of requests directly to the State Library for filling and/or processing in the NYSILL network.

The public library systems in the Long Island region reported that they had referred only nine (9) percent of their interlibrary loan requests in 1974 to the 3 R's Council for processing, while eighty (80) percent of their requests were referred directly to the State Library for filling and/or processing in the NYSILL network. 1/ Ten (10) percent of requests originating in the public library systems in 1974 were referred to other libraries within the Long Island region for filling. They reported less than one percent direct referrals to libraries outside the Long Island region.

The academic libraries in the Long Island region reported that they had referred 30 percent of their interlibrary loan requests in 1974 to the 3 R's Council for processing. Nineteen (19) percent of their requests were referred to libraries outside the Long Island region for filling, and 40 percent were referred directly to the State Library for filling and/or processing in the NYSILL network. 2/ The remaining 11 percent of requests originating in academic libraries in 1974 were referred directly to other libraries in the Long Island region.

The referral pattern reported by the special libraries in the Long Island region is markedly different from that reported by the academic libraries or public library systems. Thirty-four (34) percent of special library interlibrary loan requests in 1974 were referred to the 3 R's Council for processing, and 36 percent were referred directly to other libraries outside the region. Fifteen (15) percent of the requests originating at special libraries in 1974 were referred to libraries in the Long Island region, and 15 percent were reported as having been referred directly to the State Library for filling and/or processing in the NYSILL network, although only one of the special libraries in the Long Island region has direct teletype access to the State Library.

1/ Each of the public library systems has direct access to the State Library.

2/ Two of the academic member libraries in the region have direct teletype access to the State Library.

The differences in the relative use of the various referral options by the three types of libraries in the Long Island region can be related to a number of factors. For example, although all member libraries are encouraged to make direct referrals to other libraries in the region for serial material listed in the regional Union List of Serials, the three types of libraries differ in the extent to which they originate interlibrary loan serial requests. Academic and special libraries evidence more direct borrowing from libraries both in and outside the region than do the public library systems, in part because academic and special libraries originate more serial requests than do the public library systems. In all three types of libraries, monograph requests are most likely to be referred to the 3 R's Council for processing in the region or referral to the State Library.

In the Long Island region, a very low volume of requests are referred to the 3 R's Council even though the larger member libraries, which are traditionally the heavy lenders, prefer that other member libraries refer requests through the Council rather than directly. One of the major constraints upon borrowing through the Long Island Library Resources Council is the fee structure imposed by the Council upon all members but which, in essence, puts a greater financial burden upon those members that borrow more items than they lend. A rather large number of member libraries in this region have direct access to the State Library and, because those services incur no charge, these libraries make heavy use of that option. Other libraries prefer to deal directly under individual agreements with other member libraries or to refer requests directly to libraries outside the region rather than pay the fee charged by the Council. Other reasons cited by member libraries for making direct referrals to libraries in the region were: for serial materials listed in the regional Union List of Serials; for speed of service and convenience; to access special collections likely to contain the desired item; and, because of special arrangements with specific libraries. For example, the Suffolk Cooperative Library System has an interlibrary loan arrangement with Suffolk, Dowling, and Southampton Colleges which was set up prior to the 3 R's Council but which continues to function.

The five health-related libraries in the region 1/ which reported interlibrary loan activity also rely substantially on direct referral both within and outside the region in attempting to fill interlibrary loan requests originated for their patrons. In fact, these libraries refer over 80 percent of their referrals directly to other libraries. Conversely, these five libraries refer only a small percentage of their interlibrary loan requests to the 3 R's Council for processing. The proportion in 1974 was 9 percent, compared to the region-wide average of 20 percent being referred to the 3 R's Council.

1/ These health-related libraries are: Brookhaven National Laboratory, SUNY at Stony Brook Health Sciences Library, Suffolk Academy of Medicine, Plum Island Animal Disease Center and Endo Laboratories, Inc.

The reasons cited by the member libraries for making direct referrals outside the region in addition to the desire to avoid the Council's fee were: to obtain theses or dissertations; to access special collections outside the region likely to contain the desired item; to access other SUNY libraries; to access the statewide regional medical library network through a library outside the region; and, to obtain material identified in bibliographic sources, or identified by the patron, as being held at a specific library outside the region. The availability of extra-regional bibliographic tools -- such as union lists, union catalogs, an OCLC terminal, etc. -- in a member library increases the tendency of the member library to refer its interlibrary loan requests directly to potential lending institutions outside the region.

The likelihood of referral of interlibrary loan requests to the 3 R's Council is decreased by the fee structure imposed by member libraries. When member libraries do use the 3 R's Council to help process an interlibrary loan request in the Long Island region, it is almost always at the point of first referral rather than on a subsequent referral of a request that was initially referred elsewhere.

In the Long Island region, a very large percentage (42.0 percent) of all first referrals by the member libraries represents referrals to the State Library. 1/

1/ This statistic was derived from the analysis of the sample of member library interlibrary loan requests drawn for this study.

SECTION II

CHARACTERISTICS OF REGIONAL INTERLIBRARY LOAN REQUESTS

This section of the report examines six characteristics of regional interlibrary loan requests in each of the regions under study. These characteristics are: the type of originating library (whether a public library system, academic library, or special library); patron status (whether faculty, student, business or professional, or "other"), the nature of the material requested (whether a monograph, serial, thesis or "other"); the language in which the requested material is written; whether the request was urgent or not urgent; and, the subject content of the requested material (whether in the physical sciences, biological sciences, social sciences, humanities, history, "professional literature," 1/ popular fiction, or popular non-fiction).

The data for this analysis of request characteristics were derived from a weighted sample of interlibrary loan requests drawn from the files of the public library systems, and selected academic and special libraries in the five regions. 2/ In each region, the weighted sample was stratified by type of originating library, so that the proportions of requests from the three types of libraries in each regional sample would be representative -- at a .05 level of confidence -- of the actual proportions originating at the three types of libraries during 1974 or 1974-75.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

A weighted total of 358 requests were selected from the files of 19 member libraries of the Western 3 R's Council, including the three public library systems, ten academic libraries and six special libraries. As a result of this stratified sampling technique, the sample included the following distribution of requests by originating library: public library system requests - 15 percent; academic library requests - 55 percent; and, special library requests - 30 percent. 3/ Based on the analysis of this sample, regional interlibrary loan requests in the Western region have the following characteristics:

1/ "Professional literature" was defined to include materials in business, engineering, education, medicine, social work, law and communications.

2/ The methodology for the interlibrary loan request sampling and analysis is discussed in Appendix A.

3/ The actual proportions of requests originating at the three types of libraries in the Western region during 1974 were: public library system requests - 16 percent; academic library requests - 46 percent; and, special library requests - 38 percent.

- The largest single category of patrons in this region is business or professional persons (33 percent), followed by faculty members (29 percent), students (24 percent), and "other" patrons (13 percent) such as homemakers or the unemployed. 1/

- Requests in this region are more likely to be for serial items (59 percent) than for monograph materials (37 percent). Requests for theses or other materials, primarily patents, are sometimes encountered (4 percent).

- The great majority of requests are for materials in English (89 percent). Foreign language requests included materials in French (3 percent), German (4 percent), and Russian (2 percent).

- Very few requests are considered urgent by the requesting patron (1 percent). 2/

- The subject content of material requested in this region is frequently "professional literature" (42 percent), followed by materials in the biological sciences (16 percent), the humanities (14 percent), the physical sciences (9 percent), social sciences (8 percent), and history (5 percent). A very small percentage of the requests are for popular fiction or non-fiction items (3 percent). 3/

In the Western region, the following general patterns also serve to characterize the regional interlibrary loan activity of the 3 R's Council's member libraries:

- Faculty members and students tend to submit interlibrary loan requests at academic libraries; business and professional persons at special libraries; and "other" patrons at public libraries. Business and professional persons in this region also occasionally submit interlibrary loan requests at public libraries.

1/ Percents do not add to 100 percent because one request sampled did not indicate the patron's status.

2/ Since the sample was drawn during the summer months, this incidence of urgent requests may be lower than would be encountered during the academic year.

3/ Percents do not add to 100 percent because ten requests sampled were not classified by subject area.

- Public library patrons generate mostly monograph requests; academic and special library patrons mostly serial requests.

- Serial requests in this region originate primarily at special libraries for business and professional patrons, and secondarily at academic libraries for faculty members and students. Monograph requests in this region originate primarily at public libraries for "other" patrons.

- All categories of patrons most frequently request "professional literature." Faculty members also tend to request materials in the biological sciences or humanities; students also tend to request materials in the humanities; business and professional persons also tend to request materials in the biological sciences; and, "other" patrons also tend to request materials in the humanities.

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

A weighted total of 353 requests were selected from the files of 20 member libraries of the Rochester 3 R's Council, including the one public library system, seven academic libraries and 12 special libraries. As a result of this stratified sampling technique, the sample included the following distribution of requests by originating library: public library system requests - 8 percent; academic library requests - 34 percent; and, special library requests - 58 percent. 1/ Based on the analysis of this sample, regional interlibrary loan requests in the Rochester region have the following characteristics:

- The largest single category of patrons in this region is business or professional persons (59 percent), followed by faculty members (20 percent), students (14 percent), and "other" patrons (7 percent).

- Requests in this region are more likely to be for serial items (75 percent) than for monograph materials (24 percent). Requests for theses or other materials, primarily patents, are sometimes encountered (1 percent).

- The great majority of requests are for materials in English (90 percent). Foreign language requests included materials in French (3 percent), Russian (1 percent), and German (3 percent).

1/ The actual proportions of requests originating at the three types of libraries in the Rochester region during 1974 were: public library system requests - 7 percent; academic library requests -33 percent; and, special library requests - 60 percent.

- Very few requests are considered urgent by the requesting patron (2 percent). 1/

- The subject content of material requested in this region is frequently "professional literature" (51 percent), followed by materials in the physical sciences (15 percent), the biological sciences (11 percent), social sciences (10 percent), the humanities (7 percent), and history (3 percent). A very small percentage of the requests are for popular fiction or non-fiction items (3 percent). 2/

In the Rochester region, the following general patterns also serve to characterize the regional interlibrary loan activity of the 3 R's Council's member libraries:

- Faculty members and students tend to submit interlibrary loan requests at academic libraries; business and professional persons at special libraries; and "other" patrons at public libraries.

- Public library patrons and students generate mostly monograph requests; faculty and business and professional patrons mostly serial requests.

- Serial requests in this region originate primarily at special libraries for business and professional patrons, and secondarily at academic libraries for faculty members and students. Monograph requests in this region originate primarily at public libraries for "other" patrons, but also at academic libraries for students.

- All categories of patrons most frequently request "professional literature." Faculty members also tend to request materials in the humanities, physical or biological sciences; students also tend to request materials in the humanities or social sciences; business and professional persons also tend to request materials in the physical or biological sciences; and, "other" patrons also tend to request materials in the social sciences.

1/ Since the sample was drawn during the summer months, this incidence of urgent request may be lower than would be encountered during the academic year.

2/ Percents do not add to 100 percent because four requests sampled were not classified by subject area.

CAPITAL DISTRICT LIBRARY COUNCIL

A total of 300 requests were selected from the files of 15 member libraries of the Capital District 3 R's Council, including the three public library systems, nine academic libraries and three special libraries. As a result of this stratified sampling technique, the sample included the following distribution of requests by originating library: public library system requests - 20 percent; academic library requests - 60 percent; and, special library requests - 20 percent. 1/ Based on the analysis of this sample, regional interlibrary loan requests in the Capital District region have the following characteristics:

- The largest single category of patrons in this region is academic library patrons -- faculty members (34 percent) and students (20 percent) -- followed by business and professional persons (26 percent) and "other" patrons (17 percent). 2/
- Requests in this region are more likely to be for serial items (52 percent) than for monograph materials (44 percent). Requests for theses or other materials are sometimes encountered (4 percent).
- The great majority of requests are for materials in English (93 percent). Foreign language requests included materials in French (3 percent), German (1 percent) and Russian (1 percent).
- Only one patron in this sample asked that the request be handled with urgency. 3/
- The subject content of material requested in this region is frequently "professional literature" (42 percent), followed by materials in the social sciences (17 percent), the humanities (9 percent), the physical sciences (8 percent), popular non-fiction (7 percent), biological sciences (6 percent), history (6 percent), and popular fiction (2 percent). 4/

1/ The actual proportions of requests originating at the three types of libraries in the Capital District region during 1974 were: public library system requests - 21 percent; academic library requests - 53 percent; and special library requests - 26 percent.

2/ Percents do not add to 100 percent because nine requests sampled did not indicate the patron's status.

3/ Since the sample was drawn during the summer months, this incidence of urgent requests may be lower than would be encountered during the academic year.

4/ Percents do not add to 100 percent because seven requests sampled were not classified by subject area.

In the Capital District, the following general patterns also serve to characterize the regional interlibrary loan activity of the 3 R's Council's member libraries:

- Faculty members and students tend to submit interlibrary loan requests at academic libraries; business and professional persons at special libraries; and "other" patrons at public libraries. Business and professional persons in this region also submit interlibrary loan requests at academic libraries.
- Public library patrons generate mostly monograph requests; academic and special library patrons mostly serial requests, although in this region, approximately one-half to one-third of academic and special library patron requests are for monograph items.
- Serial requests in this region originate primarily at special libraries for business and professional patrons, and at academic libraries for faculty members and students. Monograph requests in this region originate primarily at public libraries for "other" patrons and secondarily at academic or special libraries.
- All but "other" patrons most frequently request "professional literature" while these "other" patrons most frequently request materials in the humanities. Faculty members also tend to request materials in the social or physical sciences; students also tend to request materials in the social sciences; business and professional persons also tend to request materials in the social sciences. "Other" patrons in this region secondarily tend to request "professional literature" followed by popular non-fiction.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

A weighted total of 174 requests were selected from the files of ten member libraries of the Southeastern 3 R's Council, including the two public library systems, six academic libraries and two special libraries. As a result of this stratified sampling technique, the sample included the following distribution of requests by originating library: public library system requests - 43 percent; academic library requests - 34 percent; and, special library requests - 23 percent. 1/ Based on the analysis of this sample, regional interlibrary loan requests in the Southeastern region have the following characteristics:

1/ The actual proportions of requests originating at the three types of libraries in the Southeastern region during 1974 were: public library system requests - 46 percent; academic library requests - 36 percent; and, special library requests - 18 percent.

- The largest single category of patrons in this region is "other" patrons (44 percent), followed by faculty members (24 percent), business and professional persons (24 percent), students (5 percent). 1/
- Requests in this region are more likely to be for monograph items (53 percent) than for serial items (43 percent). Requests for theses or other materials are sometimes encountered (4 percent).
- The great majority of requests are for materials in English (94 percent). Foreign language requests included materials in French (1 percent).
- Serial requests in this region originate primarily at special libraries for business and professional patrons, and secondarily at academic libraries for faculty members and students. Monograph requests in this region originate primarily at public libraries for "other" patrons and secondarily at academic libraries for faculty.
- With the exception of students who most frequently request materials in the humanities, all other categories of patrons most frequently request "professional literature." Faculty members also tend to request materials in history while business and professional persons also tend to request materials in the biological sciences.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

A weighted total of 270 requests were selected from the files of 17 member libraries of the Long Island 3 R's Council, including the two public library systems, nine academic libraries and six special libraries. As a result of this stratified sampling technique, the sample included the following distribution of requests by originating library: public library system requests - 42 percent; academic library requests - 42 percent; and, special library requests - 16 percent. 2/ Based on the analysis of this sample, regional interlibrary loan requests in the Long Island region have the following characteristics:

1/ Percents do not add to 100 percent because five requests sampled did not indicate the patron's status.

2/ The actual proportions of requests originating at the three types of libraries in the Long Island region during 1974 were: public library system requests - 48 percent; academic library requests - 38 percent; and, special library request - 14 percent.

- The largest single category of patrons in this region is faculty members (29 percent), followed by students (19 percent), business and professional persons (17 percent), and "other" patrons (1 percent). 1/

- Requests in this region are more likely to be for monograph items (61 percent) than for serials (38 percent). Requests for theses or other materials are rarely encountered (1 percent).

- The great majority of requests are for materials in English (95 percent). Foreign language requests included materials in French (1 percent) and German (3 percent).

- Very few requests are considered urgent by the requesting patron (1 percent). 2/

- The subject content of material requested in this region is frequently "professional literature" (29 percent) followed by materials in the humanities (17 percent), the social sciences (14 percent), the physical sciences (10 percent), biological sciences (8 percent), and history (8 percent). A small percentage of the requests are for popular fiction (6 percent) or non-fiction items (6 percent). 3/

In the Long Island region, the following general patterns also serve to characterize the regional interlibrary loan activity of the 3 R's Council's member libraries:

- Faculty members and students tend to submit interlibrary loan requests at academic libraries; business and professional persons at special libraries; and "other" patrons at public libraries. Faculty members and students in this region also occasionally submit interlibrary loan requests at public libraries

- Public and academic library patrons generate mostly monograph requests; special library patrons mostly serial requests.

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1 Percents do not add to 100 percent because 93 requests sampled did not indicate the patrons' status.

2/ Since the sample was drawn during the summer months, this incidence of urgent requests may be lower than would be encountered during the academic year.

3/ Percents do not add to 100 percent because four requests sample were not classified by subject area.

- Serial requests in this region originate primarily at special libraries for business and professional patrons, and secondarily at academic libraries for faculty members and students. Monograph requests in this region originate primarily at public libraries for "other" patrons and at academic libraries for faculty members and students.

- In this region, business and professional persons most frequently request "professional literature," followed by materials from the physical sciences. Faculty members most frequently request materials in the social sciences or humanities; and students most frequently request "professional literature" although they also tend to request materials in the humanities. 1/

1/ Due to errors in coding "other" patrons, we are unable to state in this section these patrons' preferences for various categories of materials.

PART THREE

MEASURES OF EFFECTIVENESS OF REGIONAL INTERLIBRARY LOAN IN THE FIVE REGIONS UNDER STUDY

SECTION I

REGIONAL INTERLIBRARY LOAN FILL RATES

Fill rates constitute one measure of effectiveness of interlibrary loan processing. This section presents the interlibrary loan fill rates that were derived from the analysis of the samples of interlibrary loan requests drawn from selected member libraries in each of the five regions under study.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

The weighted request sample drawn in the Western region included 358 interlibrary loan requests, of which 324 (90.5 percent) were filled.

The fill rates for the various interlibrary loan processing options vary. Of the 67 requests which were consistently referred directly to another library, without ever being referred either to the 3 R's Council, to the regional resource libraries, or to the State Library, 94 percent were filled (95 percent of these in the region and 5 percent outside the region). Of the 83 requests which were referred to the State Library at some point in the referral process, either directly, through the 3 R's Council, or through the regional resource libraries, 83 percent were filled (59 percent of these at the State Library, 26 percent at a NYSILL referral library, and 15 percent at some other library after unsuccessful searching in the State Library/NYSILL network). The remaining 208 requests were referred to the 3 R's Council at some point in the referral process and were not ever referred to the State Library. Ninety-two percent of these requests were filled (81 percent of these in the region and 19 percent outside the region).

Exhibit I-1 indicates the significance of the various types of lending libraries in and outside the region in filling requests for the three types of originating libraries. Requests originating at the Western Council's public library system members were most often filled at other public library systems, and were least often filled at special libraries. Requests originating at the Council's academic member libraries were most often filled at a public library, and were least often filled at a special library. Requests originating at the Council's special member libraries were most often filled at an academic, and least often filled at the State Library or a NYSILL referral library. Overall, 42 percent of the 324 filled requests were filled by a public library system in or outside the region, 31 percent were filled by an academic library in or outside the region, nine percent were filled by a special library in or outside the region, and 18 percent were filled by the New York State Library or a NYSILL referral library.

EXHIBIT I-1

NUMBER AND PERCENT OF FILLED REQUESTS BY TYPE OF ORIGINATING LIBRARY AND TYPE OF LENDING LIBRARY 1/

WESTERN 3 R'S REGION

		LENDING LIBRARY IN AND OUTSIDE REGION									
		Public Library System		Academic Library		Special Library		State Library or NYSILL		Total	
		#	%	#	%	#	%	#	%	#	%
ORIGINATING LIBRARY IN REGION	Public Library System	24	55.8	9	20.9	2	4.6	8	18.6	43	99.9*
	Academic Library	83	46.6	50	28.1	9	5.1	36	20.2	178	100.0
	Special Library	28	27.2	42	40.8	18	17.5	15	14.5	103	100.0
	Total	135	41.7	101	31.2	29	9.0	59	18.2	324	100.1*

1/ Based on an analysis of 358 weighted interlibrary loan requests.

* Rounding error.

In the Western region, 83 percent of the requests that had originated in the public library systems were filled; 90 percent of those which had originated at academic libraries were filled; and 94 percent of those which had originated at special libraries were filled.

Requests from "other" patrons in the Western region are least likely to be filled (78 percent were filled). There is very little difference in the fill percentages for requests from business/professional patrons (94 percent filled), students (94 percent filled), and faculty members (89 percent filled).

In the Western region, requests for serial materials are most likely to be filled (95 percent were filled), followed by requests for "other" materials (84 percent filled), monographs (83 percent filled), and theses (60 percent filled).

There were 227 requests (63.4 percent) referred exclusively within the Western region, of which 94 percent were filled. The fill percentages by type of originating library, by patron status, and by nature of the material requested are all somewhat higher for requests that were referred exclusively within the region than for requests which left the region at some point in the referral process. Therefore, the member libraries in the Western region presently experience somewhat more success overall in referring requests within the region than they experience in referring requests outside the region.

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

The weighted request sample drawn in the Rochester region included 353 interlibrary loan requests, or which 320 (90.9 percent) were filled.

The fill rates for the various interlibrary loan processing options vary. Of the 98 requests which were consistently referred directly to another library, without ever being referred either to the 3 R's Council, to the regional resource libraries, or to the State Library, 87 percent were filled (55 percent of these in the region and 45 percent outside the region). Of the 61 requests which were referred to the State Library at some point in the referral process, either directly, through the 3 R's Council, or through the regional resource libraries, 77 percent were filled (51 percent of these at the State Library, 47 percent at a NYSILL referral library, and two percent at some other library after unsuccessful searching in the State Library/NYSILL network). The remaining 194 requests were referred to one of the 3 R's Council's regional resource libraries at some point in the referral process and were not ever referred to the State Library. Ninety-seven percent of these requests were filled (94 percent of these in the region and six percent outside the region).

Exhibit I-2 indicates the significance of the various types of lending libraries in and outside the region in filling requests for the three types of originating libraries. Requests originating at the Rochester Council's public library system were most often filled at an academic library, and were least often filled at another public library. Requests originating at the Council's academic member libraries were most often filled at another academic library, and were least often filled at a special library. Requests originating at the Council's special member libraries were most often filled at an academic, and least often filled at another special library. Overall, 12 percent of the 320 filled requests were filled by a public library system in or outside the region, 62 percent were filled by an academic library in or outside the region, seven percent were filled by a special library in or outside the region, and 19 percent were filled by New York State Library or a NYSILL referral library.

In the Rochester region, 82 percent of the requests that had originated in the public library system were filled; 87 percent of those which had originated at academic libraries were filled; and 94 percent of those which had originated at special libraries were filled.

Requests from "other" patrons in the Rochester region are least likely to be filled (83 percent were filled). The fill percentages for requests from business/professional patrons (94 percent filled), students (87 percent filled), and faculty members (87 percent filled) are similarly high.

In the Rochester region, requests for serial materials are most likely to be filled (93 percent were filled), followed by monographs (87 percent filled), and theses (50 percent filled).

There were 235 requests (66.6 percent) referred exclusively within the Rochester region, of which 96 percent were filled. The fill percentages by type of originating library, by patron status,and by nature of the material requested are all somewhat higher for requests that were referred exclusively within the region than for requests which left the region at some point in the referral process. Therefore, the member libraries in the Rochester region presently experience somewhat more success overall in referring requests within the region than they experience in referring requests outside the region.

CAPITAL DISTRICT LIBRARY COUNCIL

The request sample drawn in the Capital District included 300 interlibrary loan requests, of which 262 (87.3 percent) were filled.

EXHIBIT I-2

NUMBER AND PERCENT OF FILLED REQUESTS BY TYPE OF ORIGINATING LIBRARY AND TYPE OF LENDING LIBRARY 1/

ROCHESTER 3 R'S REGION

		LENDING LIBRARY IN AND OUTSIDE REGION									
		Public Library System		Academic Library		Special Library		State Library or NYSILL		Total	
		#	%	#	%	#	%	#	%	#	%
ORIGINATING LIBRARY IN REGION	Public Library System	0	-	14	60.9	2	8.7	7	30.4	23	100.0
	Academic Library	15	14.7	57	55.9	13	12.7	17	16.7	102	100.0
	Special Library	24	12.4	127	65.5	21	10.8	22	11.3	194	100.0
	Total	39	12.2	198	62.1	36	11.3	46	14.4	319	100.0

1/ Based on an analysis of 353 weighted interlibrary loan requests.

85

86

The fill rates for the various interlibrary loan processing options vary. Of the 101 requests which were consistently referred directly to another library, without ever being referred either to the 3 R's Council for holdings information or to the State Library, 98 percent were filled (93 percent of these in the region and seven percent outside the region). Of the 112 requests which were referred directly to the State Library at some point in the referral process, 85 percent were filled (72 percent of these at the State Library, 18 percent of these at a NYSILL referral library, and ten percent at some other library after unsuccessful searching in the State Library/NYSILL network). The remaining 86 requests were referred to the 3 R's Council for holdings information at some point in the referral process and were not ever referred to the State Library. Seventy-nine percent of these requests were filled (84 percent of these in the region and 16 percent outside the region).

Exhibit I-3 indicates the significance of the various types of lending libraries in and outside the region in filling requests for the three types of originating libraries. Requests originating at the Capital District Council's public library system members were most often filled at the State Library, and were least often filled at a special library. Requests originating at the Council's academic member libraries were most often filled at another academic library, and were least often filled at a special library. Requests originating at the Council's special member libraries were most often filled at the State Library or one of the NYSILL referral libraries, and least often filled at another special library or a public library. Overall, 14 percent of the 324 filled requests were filled by a public library system in or outside the region, 48 percent were filled by an academic library in or outside the region, six percent were filled by a special library in or outside the region, and 32 percent were filled by the New York State Library or a NYSILL referral library.

In the Capital District region, 65 percent of the requests that had originated in the public library systems were filled; 92 percent of those which had originated at academic libraries were filled; and 97 percent of those which had originated at special libraries were filled.

Requests for "other" patrons in the Capital District are least likely to be filled (64 percent were filled). There is very little difference in the fill percentages for requests from business/professional patrons (96 percent filled), students (92 percent filled), and faculty members (90 percent filled).

In the Capital District, requests for serial materials are most likely to be filled (96 percent were filled), followed by monographs requests (80 percent filled), and "other" materials (73 percent filled).

EXHIBIT I-3

NUMBER AND PERCENT OF FILLED REQUESTS BY TYPE OF ORIGINATING LIBRARY AND TYPE OF LENDING LIBRARY 1/

CAPITAL DISTRICT 3 R'S REGION

		LENDING LIBRARY IN AND OUTSIDE REGION									
		Public Library System		Academic Library		Special Library		State Library or NYSILL		Total	
		#	%	#	%	#	%	#	%	#	%
ORIGINATING LIBRARY IN REGION	Public Library System	5	12.8	14	35.9	0	-	20	51.3	39	100.0
	Academic Library	27	16.4	88	53.3	12	7.3	38	23.0	165	100.0
	Special Library	4	6.9	23	39.6	4	6.9	27	46.6	58	100.0
	Total	36	13.7	125	47.7	16	6.1	85	32.4	262	99.9*

1/ Based on an analysis of 300 interlibrary loan requests.

* Rounding error.

There were 249 requests (83.0 percent) referred exclusively within the Capital District of which 89 percent were filled. The fill percentages by type of originating library, by patron status, and by nature of the material requested are quite similar for requests that were referred exclusively within the region and for requests which left the region at some point in the referral process.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

The weighted request sample drawn in the Southeastern region included 174 interlibrary loan requests, of which 127 (73.0 percent) were filled.

The fill rates for the various interlibrary loan processing options vary. Of the 47 requests which were consistently referred directly to another library, without ever being referred either to the 3 R's Council or to the State Library, 92 percent were filled (72 percent of these in the region and 28 percent outside the region). Of the 66 requests which were referred to the State Library at some point in the referral process, either directly or through the 3 R's Council, 61 percent were filled (82 percent of these at the State Library and 18 percent at a NYSILL referral library). The remaining 61 requests were referred to the 3 R's Council at some point in the referral process and were not ever referred to the State Library. Seventy-four percent of these requests were filled (56 percent of these in the region and 44 percent outside the region).

Exhibit I-4 indicates the significance of the various types of lending libraries in and outside the region in filling requests of the three types of originating libraries. Requests originating at the Southeastern Council's public library system members were most often filled at an academic library, and were not ever filled at another public library or special library. Requests originating at the Council's academic member libraries were most often filled at either another academic library or the State Library, and were least often filled at a special library. Requests originating at the Council's special member libraries were most often filled at another special library, and least often filled at a public library or the State Library. Overall, eight percent of that 127 filled requests were filled by a public library system in or outside the region, 47 percent were filled by an academic library in or outside the region, 14 percent were filled by a special library in our outside the region, and 32 percent were filled by the New York State Library or a NYSILL referral library.

In the Southeastern region, 59 percent of the requests that had originated in the public library systems were filled; 85 percent of those which had originated at academic libraries were filled; and 83 percent of those which had originated at special libraries were filled.

EXHIBIT I-4

NUMBER AND PERCENT OF FILLED REQUESTS BY TYPE OF ORIGINATING LIBRARY AND TYPE OF LENDING LIBRARY 1/

SOUTHEASTERN 3 R'S REGION

		LENDING LIBRARY IN AND OUTSIDE REGION									
		Public Library System		Academic Library		Special Library		State Library or NYSILL		Total	
		#	%	#	%	#	%	#	%	#	%
ORIGINATING LIBRARY IN REGION	Public Library System	0	-	27	61.4	0	-	17	38.6	44	100.0
	Academic Library	7	14.3	20	40.8	2	4.1	20	40.8	49	100.0
	Special Library	3	9.1	12	36.4	15	45.4	3	9.1	33	100.0
	Total	10	7.9	59	46.8	17	13.5	40	31.7	126	99.9*

1/ Based on an analysis of 174 weighted interlibrary loan requests.

* Rounding error.

Requests from "other" patrons in the Southeastern region are least likely to be filled (61 percent were filled). Faculty members (90 percent filled) and business and professional patrons (85 percent filled) have somewhat more succes than students (75 percent filled).

In the Southeastern region, requests for serial materials are most likely to be filled (88 percent were filled), followed by requests for "other" materials (67 percent filled), and monographs (64 percent filled).

There were 63 requests (36.2 percent) referred exclusively within the Southeastern region, of which 91 percent were filled. The fill percentages by type of originating library, by patron status, and by nature of the material requested are all somewhat higher for requests that were referred exclusively within the region than for requests which left the region at some point in the referral process. Therefore, the member libraries in the Southeastern region presently experience somewhat more success overall in referring requests within the region than they experience in referring requests outside the region.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

The weighted request sample drawn in the Long Island region included 270 interlibrary loan requests, of which 190 (70.4 percent) were filled.

The fill rates for the various interlibrary loan processing options vary. Of the 14 requests which were consistently referred directly to another library, without ever being referred either to the 3 R's Council, or to the State Library, 86 percent were filled (95 percent of these in the region and 5 percent outside the region). Of the 127 requests which were referred to the State Library at some point in the referral process, either directly or through the 3 R's Council, 58 percent were filled (59 percent of these at the State Library, 40 percent at a NYSILL referral library, and one percent at some other library after unsuccessful searching in the State Library/NYSILL network). The remaining 129 requests were referred to the 3 R's Council at some point in the referral process and were not ever referred to the State Library. Eighty-one percent of these requests were filled (88 percent of these in the region and 12 percent outside the region).

Exhibit I-5 indicates the significance of the various types of lending libraries in and outside the region in filling requests for the three types of originating libraries in the region. Requests originating at the Long Island Council's public library system members were most often filled at the State Library or one of the NYSILL referral libraries, and were least often filled at another public library. Requests originating at the Council's academic member libraries were most often filled at another academic library, and were least often filled at a special

EXHIBIT I-5

NUMBER AND PERCENT OF FILLED REQUESTS BY TYPE OF ORIGINATING LIBRARY AND TYPE OF LENDING LIBRARY 1/

LONG ISLAND 3 R'S REGION

		LENDING LIBRARY IN AND OUTSIDE REGION									
		Public Library System		Academic Library		Special Library		State Library or NYSILL		Total	
		#	%	#	%	#	%	#	%	#	%
ORIGINATING LIBRARY IN REGION	Public Library System	1	1.6	5	7.9	18	28.6	39	61.9	63	100.0
	Academic Library	18	21.4	28	33.3	16	19.0	22	26.2	84	99.9*
	Special Library	1	2.4	15	35.7	15	35.7	11	26.2	42	100.0
	Total	20	10.6	48	25.4	49	25.9	72	38.1	189	100.0

1/ Based on an analysis of 270 weighted interlibrary loan requests.

* Rounding error.

library. Requests originating at the Council's special member libraries were most often filled at either another special library or an academic library, and least often filled at a public library. Overall, 11 percent of the 190 filled requests were filled by a public library system in or outside the region, 25 percent were filled by an academic library in or outside the region, 26 percent were filled by a special library in or outside the region, and 38 percent were filled by the New York State Library or a NYSILL referral library.

In the Long Island region, 55 percent of the requests which had originated in the public library systems were filled; 75 percent of those which had originated at academic libraries were filled; and, 100 percent of those which had originated at special libraries were filled.

Business/professional patrons were highly successful in having their requests filled, (100 percent filled) followed by faculty members (77 percent filled) and students (66 percent filled).1/

In the Long Island region, requests for theses are most likely to be filled (100 percent were filled), followed by requests for serial materials (91 percent filled), and monographs (57 percent filled).

There were 124 requests (45.9 percent) referred exclusively within the Long Island region, of which 85 percent were filled. The fill percentages by type of originating library, by patron status, and by nature of the material requested are quite similar or slightly higher for requests that were referred exclusively within the region than for requests which left the region at some point in the referral process.

1/ Due to the errors in coding "other" patrons, we are unable to state in this section the fill rate for these patrons.

SECTION II

CHARACTERISTICS OF UNFILLED REQUESTS

The interlibrary loan requests from the sample drawn in each region that were not filled are examined in this section. The reasons for the non-fill status of these requests are reported, and the unfilled requests are characterized in terms of the nature of the material requested and the status of the requesting patron. Appendix E presents listings of the monograph, serial and other requests in each region that had not been filled at the time the sample record-keeping was closed for analysis.[1]

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

Thirty-five (35) requests monitored in the weighted sample of 358 requests drawn from the Western 3 R's region had not been filled at the time the sample record-keeping was closed for analysis. Ten of these requests were still pending at that time. The remaining 25 requests had been established as unfilled requests. This represents an unfilled request rate of 7.0 percent.

The principal reason these 25 requests were reported unfilled was that the requested material was not owned by the final referral library (40 percent were coded NIL). This was followed by three other reasons: the final referral library would not send the requested material (24 percent were coded WNS); the requested material was in use, at the bindery or lost at the final referral library (20 percent were coded NOS); and, "bad citations" (16 percent).

The 25 requests that were unfilled consisted of monograph requests (64 percent), serial requests (24 percent), and "other" requests (12 percent) for materials such as theses and dissertations. These unfilled requests had been submitted by "other" patrons (40 percent), faculty members (36 percent), business/professional patrons (16 percent), and students (eight percent).

Exhibit II-1 relates the reasons for the requests being unfilled to the type of material requested and the status of the requesting patron.

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[1] The number of monograph, serial and other requests listed for each region in Appendix E may differ somewhat from the statistics for requests that were not filled that are reported in this section because of the weighting of some of the request samples.

EXHIBIT II-1

REASON UNFILLED BY NATURE OF MATERIAL REQUESTED AND PATRON STATUS

WESTERN NEW YORK 3 R'S REGION

	REASON UNFILLED									
	Not on Shelf		Not in Library		Will Not Send		Bad Citation		Total	
	#	%	#	%	#	%	#	%	#	%
Monograph	4	25.0	9	56.2	3	18.8	0	-	16	100.0
Serial	1	16.7	1	16.7	0	-	4	66.7	6	100.0
Other	0	-	0	-	3	100.0	0	-	3	100.0
TOTALS	5	20.0	10	40.0	6	24.0	4	16.0	25	100.0
Faculty	4	44.4	0	-	4	44.4	1	11.1	9	100.0
Student	0	-	0	-	2	100.0	0	-	2	100.0
Business/Prof.	0	-	2	50.0	0	-	2	50.0	4	100.0
Other	1	10.0	8	80.0	0	-	1	10.0	10	100.0

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

Thirty-two (32) requests monitored in the weighted sample of 352 requests drawn from the Rochester 3 R's region had not been filled at the time the sample record-keeping was closed for analysis. Eight of these requests were still pending at that time. The remaining 24 requests had been established as unfilled requests. This represents an unfilled request rate of 6.8 percent.

The principal reason these 24 requests were reported unfilled was that the requested material was not owned by the final referral library (67 percent were coded NIL). This was followed by three other reasons: the final referral library would not send the requested material (13 percent were coded WNS); the requested material was in use, at the bindery or lost in the final referral library (13 percent were coded NOS); and, "bad citations" (8 percent).

The 24 requests that were unfilled consisted of serial requests (54 percent), monograph requests (38 percent), and "other" requests (eight percent) for materials such as theses and dissertations. These unfilled requests had been submitted by business/professional patrons (37 percent), faculty members (25 percent), students (25 percent), and "other" patrons (12 percent).

Exhibit II-2 relates the reasons for the requests being unfilled to the type of material requested and the status of the requesting patron.

CAPITAL DISTRICT LIBRARY COUNCIL

Thirty-seven (37) requests monitored in the sample of 300 requests drawn from the Capital District 3 R's region had not been filled at the time the sample record-keeping was closed for analysis. Nineteen of these requests were still pending at that time. The remaining 18 requests had been established as unfilled requests. This represents an unfilled request rate of 6.0 percent.

The principal reason these 18 requests were reported unfilled was that the requested material was not owned by the final referral library (72 percent were coded NIL). This was followed by two other reasons: the requested material was in use, at the bindery or lost in the final referral library (17 percent were coded NOS); and the final referral library would not send the requested material (11 percent were coded WNS).

The 18 requests that were unfilled consisted of monograph requests (72 percent), "other" requests (17 percent) for materials such as theses and dissertations, and serial requests (11 percent). These unfilled requests had been submitted by "other" patrons (56 percent), faculty members (22 percent), business/professional patrons (17 percent), and students (six percent).

EXHIBIT II-2

REASON UNFILLED BY NATURE OF MATERIAL REQUESTED AND PATRON STATUS

ROCHESTER 3 R'S REGION

	REASON UNFILLED									
	Not on Shelf		Not in Library		Will Not Send		Bad Citation		Total	
	#	%	#	%	#	%	#	%	#	%
Monograph	2	22.2	6	66.7	1	11.1	0	-	9	100.0
Serial	1	7.7	9	69.2	1	7.7	2	15.4	13	100.0
Other	0	-	1	50.0	1	50.0	0	-	2	100.0
TOTALS	3	12.5	16	66.7	3	12.5	2	8.3	24	100.0
Faculty	0	-	4	66.7	2	33.3	0	-	6	100.0
Student	1	16.7	4	66.7	1	16.7	0	-	6	100.0
Business/Prof.	1	11.1	6	66.7	0	-	2	22.2	9	100.0
Other	1	33.3	2	66.7	0	-	0	-	3	100.0

Exhibit II-3 relates the reasons for the requests being unfilled to the type of material requested and the status of the requesting patron.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

Forty-three (43) requests monitored in the weighted sample of 174 requests drawn from the Southeastern 3 R's region had not been filled at the time the sample record-keeping was closed for analysis. Eleven of these requests were still pending at that time. The remaining 32 requests had been established as unfilled requests. This represents an unfilled request rate of 18.4 percent.

The principal reason these 32 requests were reported unfilled was that the requested material was not owned by the final referral library (72 percent were coded NIL). This was followed by three other reasons: the requested material was in use, at the bindery or lost in the final referral library (13 percent were coded NOS); the final referral library would not send the requested material (nine percent were coded WNS); and "bad citations" (six percent).

The 32 requests that were unfilled consisted of monograph requets (78 percent), serial requests (19 percent), and "other" requests (three percent) for material such as theses and dissertations. These unfilled requests had been submitted by "other" patrons (81 percent), business/professional patrons (12 percent), faculty members (three percent), and students (three percent).

Exhibit II-4 relates the reasons for the requests being unfilled to the type of material requested and the status of the requesting patron.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

Eighty (80) requests monitored in the weighted sample of 270 requests drawn from the Long Island 3 R's region had not been filled at the time the sample record-keeping was closed for analysis. Twenty of these requests were still pending at that time. The remaining 60 requests had been established as unfilled requests. This represents an unfilled request rate of 22.2 percent.

The principal reason these 60 requests were reported unfilled was that the requested material was not owned by the final referral library (75 percent were coded NIL). This was followed by two other reasons: the requested material was in use, at the bindery or lost at the final referral library (15 percent were coded NOS); and, the final referral library would not send the requested material (10 percent were coded WNS).

EXHIBIT II-3

REASON UNFILLED BY NATURE OF MATERIAL REQUESTED AND PATRON STATUS

CAPITAL DISTRICT 3 R'S REGION

	REASON UNFILLED									
	Not on Shelf		Not in Library		Will Not Send		Bad Citation		Total	
	#	%	#	%	#	%	#	%	#	%
Monograph	2	15.4	10	76.9	1	7.7	0	-	13	100.0
Serial	1	50.0	1	50.0	0	-	0	-	2	100.0
Other	0	-	2	66.7	1	33.3	0	-	3	100.0
TOTALS	3	16.7	13	72.2	2	11.1	0	-	18	100.0
Faculty	2	50.0	1	25.0	1	25.0	0	-	4	100.0
Student	0	-	1	100.0	0	-	0	-	1	100.0
Business/Prof.	0	-	3	100.0	0	-	0	-	3	100.0
Other	1	10.0	8	80.0	1	10.0	0	-	10	100.0

EXHIBIT II-4

REASON UNFILLED BY NATURE OF MATERIAL REQUESTED AND PATRON STATUS

SOUTHEASTERN NEW YORK 3 R'S REGION

	REASON UNFILLED									
	Not on Shelf		Not in Library		Will Not Send		Bad Citation		Total	
	#	%	#	%	#	%	#	%	#	%
Monograph	2	8.0	22	88.0	1	4.0	0	-	25	100.0
Serial	2	33.3	1	16.7	1	16.7	2	33.3	6	100.0
Other	0	-	0	-	1	100.0	0	-	1	100.0
TOTALS	4	12.5	23	71.9	3	9.4	2	6.2	32	100.0
Faculty	0	-	0	-	1	100.0	0	-	1	100.0
Student	1	100.0	0	-	0	-	0	-	1	100.0
Business/Prof.	2	50.0	0	-	0	-	2	50.0	4	100.0
Other	1	3.8	23	88.5	2	7.7	0	-	26	100.0

The 60 requests that were unfilled consisted of monograph requests (97 percent) and serial requests (three percent). These unfilled requests had been submitted by "other" patrons (72 percent), faculty members (15 percent), and students (13 percent). All business/professional patron requests were filled.

Exhibit II-5 relates the reasons for the requests being unfilled to the type of material requested and the status of the requesting patron.

EXHIBIT II-5

REASON UNFILLED BY NATURE OF MATERIAL REQUESTED AND PATRON STATUS

LONG ISLAND 3 R'S REGION

	REASON UNFILLED									
	Not on Shelf		Not in Library		Will Not Send		Bad Citation		Total	
	#	%	#	%	#	%	#	%	#	%
Monograph	8	13.8	45	77.6	5	8.6	0	-	58	100.0
Serial	1	50.0	0	-	1	50.0	0	-	2	100.0
Other	0	-	0	-	0	-	0	-	0	-
TOTALS	9	15.0	45	75.0	6	10.0	0	-	60	100.0
Faculty	6	66.7	2	22.2	1	11.1	0	-	9	100.0
Student	1	12.5	7	87.5	0	-	0	-	8	100.0
Business/Prof.	0	-	0	-	0	-	0	-	0	-
Other	2	4.6	36	83.7	5	11.6	0	-	43	100.0

SECTION III

TIME REQUIRED TO FILL REGIONAL INTERLIBRARY LOAN REQUESTS

The time required to fill interlibrary loan requests is another measure of the effectiveness of regional interlibrary loan processing. Exhibit III-1 presents the average elapsed time required to fill requests in the five regions under study. This elapsed time -- which ranged from 13.1 days in the Capital District 3 R's region to 18.5 days in the Southeastern 3 R's region -- was derived from the request samples drawn in the five regions by comparing the date that a final status report was received at the originating library to the date that the request was initiated at the originating library for all filled requests.

Exhibit III-1 also shows the extent to which the average time required to fill requests varies with the nature of the material requested, the type of originating library and patron status in each of the five regions. Finally, the exhibit indicates the differences in each region in the elapsed time for filled requests for the various referral options, and establishes the elapsed time for all requests that were filled as a result of within-region referrals.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

The elapsed time required to fill requests was calculated for 314 of the 324 sample requests filled in the Western 3 R's region. 1/ These 314 requestes had an average elapsed time of 17.3 days between the initiation the request at the originating library and the receipt of notification at the originating of library of its being filled.

In the Western 3 R's region, 53 percent of all filled requests were filled on the first referral, 35 percent were filled on the second referral, 10 percent were filled on the third referral, two percent were filled on the fourth referral, and less than one percent (only two requests) were filled after more than four referrals. The average number of referrals for filled requests in this region was 1.68 referrals per request. The probability that any given referral will be an in-region referral is .74 in the Western 3 R's region.

The type of material requested does seem to affect the time required to fill requests in the Western region. Serial requests tend to take somewhat longer to fill (18.8 days) than do monograph requests (16.0 days).

1/ The elapsed time required to fill the other filled requests could not be calculated because of incomplete data on request submission date, final status notification date, or both, in the files of the originating library.

TABLE III-1

ELAPSED TIME FOR FILLED REQUESTS IN FIVE 3R's REGIONS

		WESTERN	ROCHESTER	CAPITAL DISTRICT	SOUTHEASTERN	LONG ISLAND
Overall Elapsed Time		17.3 days (n = 314)	17.9 days (n = 310)	13.1 days (n = 185)	18.5 days (n = 122)	13.8 days (n = 189)
Elapsed Time by Nature of Material	Monographs	16.0 days	20.5 days	13.7 days	23.0 days	14.8 days
	Serials	18.3 days	17.0 days	12.6 days	15.2 days	12.3 days
Elapsed Time by Type of Originating Library	Public	16.6 days	18.7 days	14.9 days	24.2 days	11.9 days
	Academic	17.3 days	19.1 days	12.8 days	18.8 days	15.8 days
	Special	17.7 days	17.2 days	13.6 days	9.5 days	12.5 days
Elapsed Time by Patron Status	Faculty	18.2 days	19.5 days	14.5 days	20.6 days	Insufficient Data
	Student	15.6 days	16.9 days	12.4 days	20.4 days	
	Business/ Professional	17.8 days	17.3 days	11.9 days	10.5 days	
	Other	18.7 days	18.3 days	14.0 days	24.6 days	
Elapsed Time by Referral Option	Direct	20.3 days	17.6 days	10.0 days	14.8 days	16.5 days
	3R's	14.4 days	15.8 days	14.3 days	21.0 days	14.0 days
	State Library	23.0 days	26.9 days	15.4 days	20.3 days	12.8 days
Elapsed Time for Requests Remaining in Region		17.1 days	18.6 days	14.7 days	18.3 days	16.2 days

There is very little overall difference (1.1 days) in the elapsed time required to fill requests originating at the three types of libraries in this region. Requests originating at the public library systems required an average of 16.6 days to fill, those originating at academic libraries required an average of 17.3 days to fill, while those originating at special libraries required an average of 17.7 days to fill.

In the Western region, student requests are filled in the shortest elapsed time (15.6 days on the average), while faculty requests and "other" patron requests require about three additional days processing to fill (18.2 days and 18.7 days on the average, respectively). Business/professional requests are filled in an elapsed time that falls within this range (17.8 days on the average.).

The referral option with the lowest average elapsed time in the Western region is referral to the 3 R's Council for processing in the region. Requests processed by the Council that were able to be filled without a referral to the State Library/NYSILL network required an average of 14.4 days to be filled. Requests which were referred by the originating library directly to one or more potential lending libraries -- without ever being referred either to the 3 R's Council, to the regional resource libraries, or to the State Library -- required an average of 20.3 days to be filled. Requests which were referred to the State Library at some point in the referral process -- either directly, through the 3 R's Council, or through the regional resource libraries -- required an average of 23.0 days to be filled.

The average time required to fill all requests monitored in the Western region was 17.3 days. The average time required to fill requests which were referred exclusively within the region was virtually the same, 17.1 days.

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

The elapsed time required to fill requests was calculated for 310 of the 320 sample requests filled in the Rochester 3 R's region. [1] These 310 requests had an average elapsed time of 17.9 days between the initiation of the request at the originating library and the receipt of notification at the originating library of its being filled.

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[1] The elapsed time required to fill the other filled requests could not be calculated because of incomplete data on request submission date, final status notification date, or both, in the files of the originating library.

In the Rochester 3 R's region, 78 percent of all filled requests were filled on the first referral, 14 percent were filled on the second referral, seven percent were filled on the third referral, and one percent were filled on the fourth referral. The average number of referrals for filled requests in this region was 1.38 referrals per request. The probability that any given referral will be in an in-region referral is .65 in the Rochester 3 R's region.

The type of material requested does seem to affect the time required to fill requests in the region. Monograph requests tend to take somewhat longer to fill (20.5 days) than do serial requests (17.0 days).

There is a slight overall difference (1.9 days) in the elapsed time required to fill requests originating at the three types of libraries in this region. Requests originating at special libraries required an average of 17.2 days to fill, those originating at the public library system required an average of 18.7 days to fill, while those originating at academic libraries required an average of 19.1 days to fill.

In the Rochester region, student requests are filled in the shortest elapsed time (16.9 days on the average), while business and professional patron requests require less than an additional day (17.3 days on the average). "Other" patron requests require on the average 18.2 days, and faculty requests require the longest elapsed time (19.5 days on the average).

The referral option with the lowest average elapsed time in the Rochester region is referral to the 3 R's Council's regional resource libraries for processing in the region. Requests processed by the resource libraries that were able to be filled without a referral to the State Library/NYSILL network required an average of 15.8 days to be filled. Requests which were referred by the originating library directly to one or more potential lending libraries -- without ever being referred either to the regional resource libraries or to the State Library -- required an average of 17.6 days to be filled. Requests which were referred to the State Library at some point in the referral process -- either directly or through the regional resource libraries -- required an average of 26.9 days to be filled.

The average time required to fill all requests monitored in the Rochester region was 17.9 days. The average time required to fill requests which were referred exclusively within the region was virtually the same, 18.6 days.

CAPITAL DISTRICT LIBRARY COUNCIL

The elapsed time required to fill requests was calculated for 185 of the 262 sample requests filled in the Capital District 3 R s region. 1/ These 185 requests had a very low average elapsed time of 13.1 days between the initiation of the request at the originating library and the receipt of notification at the originating library of its being filled.

In the Capital District 3 R's region, 46 percent of all filled requests were filled on the first referral, 36 percent were filled on the second referral, six percent were filled on the third referral, and two percent were filled on the fourth referral. The average number of referrals for filled requests in this region was 1.59 referrals per request. The probability that any give referral will be an in-region referral is .86 in the Capital District 3 R's region.

The type of material requested does not seem to affect the time required to fill requests in the Capital District region. Monograph requests tend to take only slightly longer to fill (13.7 days) than do serial requests (12.6 days).

There is a slight overall difference (2.1 days) in the elapsed time required to fill requests originating at the three types of libraries in this region. Requests originating at academic libraries required an average of 12.8 days to fill, those originating at special libraries required an average of 13.6 days to fill, while those originating at the public library systems required an average of 14.9 days to fill.

In the Capital District region, business and professional patron requests are filled in the shortest elapsed time (11.9 days on the average), while student requests required only slightly longer to fill (12.4 days on the average). Faculty and "other" patrons requests are filled in the longest elapsed time (14.0 days and 14.5 days on the average, respectively)

The referral option with the lowest average elapsed time in the Capital District region is referral by the originating library directly to one or more potential lending libraries -- without ever being referred either to the 3 R's Council for holdings information or to the State Library. These requests required an average of 10.0 days to be filled. Requests for which holdings information was supplied by the Council that

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1/ The elapsed time required to fill the other filled requests could not be calculated because of incomplete data on request submission date, final status notification date, or both, in the files of the originating library.

were able to be filled without a referral to the State Library/NYSILL network required an average of 14.3 days to be filled. Requests which were referred to the State Library at some point in the referral process -- either directly or through the 3 R's Council -- required an average of 15.4 days to be filled.

The average time required to fill all requests monitored in the Capital District region was 13.1 days. The average time required to fill requests which were referred exclusively with the region was slightly longer, 14.7 days.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

The elapsed time required to fill requests was calculated for 122 of the 127 sample requests filled in the Southeastern 3 R's region. 1/ These 122 requests had an average elapsed time of 18.5 days between the initiation of the request at the originating library and the receipt of notification at the originating library of its being filled.

In the Southeastern 3 R's region, 43 percent of all filled requests were filled on the first referral, 46 percent were filled on the second referral, six percent were filled on the third referral, and five percent were filled on the fourth referral. The average number of referrals for filled requests in this region was 1.93 referrals per request. The probability that any given referral will be an in-region referral is .59 in the Southeastern 3 R's region.

The type of material requested does seem to markedly affect the time required to fill requests in the Southeastern region. Monograph requests tend to take over a week longer to fill (23.0 days) than do serial requests (15.2 days).

There is a very substantial overall difference (14.2 days) in the elapsed time required to fill requests originating at the three types of libraries in this region. Requests originating at the public library systems required an average of 24.2 days to fill, those originating at academic libraries required an average of 18.8 days to fill, while those originating at special libraries required only an average of 9.5 days to fill.

1/ The elapsed time required to fill the other filled requests could not be calculated because of incomplete data on request submission date, final status notification date, or both, in the files of the originating library.

In the Southeastern region, business and professional patron requests are filled in the shortest elapsed time (10.5 days on the average), while faculty and student requests require about ten additional days processing to fill (20.6 days and 20.4 days on the average, respectively). "Other" patron requests are filled in a longer elapsed time (24.6 days on the average).

The referral option with the lowest average elapsed time in the Southeastern region is referral by the originating library directly to one or more potential lending libraries -- without ever being referred either to the 3 R's Council or to the State Library. These requests required an average of 14.8 days to be filled. Requests which were referred to the State Library at some point in the referral process -- either directly or through the 3 R's Council -- required an average of 20.3 days to be filled. Requests referred to the 3R's Council that were able to be filled without a referral to the State Library/NYSILL network required an average of 21.0 days to be filled.

The average time required to fill all requests monitored in the region was 18.5 days. The average time required to fill requests which were referred exclusively within the region was virtually the same, 18.3 days.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

The elapsed time required to fill requests was calculated for all of the 190 sample requests filled in the Long Island 3 R's region. These 190 requests had a low average elapsed time of 13.8 days between the initiation of the request at the originating library and the receipt of notification at the originating library of its being filled.

In the Long Island 3 R's region, 37 percent of all filled requests were filled on the first referral, 56 percent were filled on the second referral, five percent were filled on the third referral, and one percent were filled on the fourth or subsequent referrals. The average number of referrals for filled requests in this region was 1.60 referrals per request. The probability that any given referral will be an in-region referral is .59 in the Long Island 3 R's region.

The type of material requested does seem to affect the time required to fill requests in the Long Island region. Monograph requests tend to take slightly longer to fill (14.8 days) than do serial requests (12.3 days).

There is significant overall difference (3.9 days) in the elapsed time required to fill requests originating at the three types of libraries in this region. Requests originating at the public library systems required an average of 11.9 days to fill, those originating at special libraries required an average of 12.5 days to fill, while those originating at academic libraries required an average of 15.8 days to fill.

Due to errors in coding, we are unable to present data concerning the elapsed time required to fill request for the four types of patrons in this region.

The referral option with the lowest average elapsed time in the Long Island region is referral to the State Library for processing. Requests which were referred to the State Library at some point in the referral process -- either directly or through the 3 R's Council -- required an average of 12.8 days to be filled. Requests processed by the 3 R's Council that were able to be filled without a referral to the State Library/NYSILL network required an average of 14.0 days to be filled. Requests which were referred by the originating library directly to one or more potential lending libraries -- without ever being referred either to the 3 R's Council or to the State Library -- required an average of 16.5 days to be filled.

The average time required to fill all requests monitored in the Long Island region was 13.8. The average time required to fill requests which were referred exclusively within the region was longer, 16.2 days.

SECTION IV

PATRON SATISFACTION

Twenty telephone interviews with persons who had attempted to obtain material through interlibrary loan were conducted in each of the five 3 R's regions. The persons to be interviewed were drawn from the files of interlibrary loan requests sampled for the study. The telephone interview permitted an informal, yet detailed, inquiry into the patron's specific experience with interlibrary loan as represented by the particular request retrieved from the request sample, and the patron's general exposure to and "satisfaction" with this aspect of library service.

Appendix A includes a detailed description of the methodology for the patron telephone survey, and provides a copy of the five page questionnaire that guided the interviews. This section of the report reviews the results of the patron survey in the five 3 R's regions under study.

The first part of each regional description establishes the composition of the patron sample in terms of the mix of patron status represented, the types of libraries at which the particular requests covered by the patron sample originated, and the number and types of different libraries included in the sample of patrons. It should be noted that student representation in the patron telephone survey is proportionally lower than actual student use of regional interlibrary loan because of the understandable unwillingness of educational institutions to divulge students' telephone numbers.

The second part deals with the patrons' experience with the particular requests retrieved from the request sample. Responses to questions concerning the patrons' reasons for seeking the requested item, whether it was filled or unfilled, and how long the patrons had to wait to receive the item requested or to receive notification that the request could not be filled are aggregated, and the patrons' reactions to their experience with these particular requests are summarized. Responses to questions concerning the patrons' usage of the requested item, its usefulness to the patrons' purposes for requesting the item, and the patrons' "satisfaction" with the handling of these particular requests are also presented.

The final part of each regional description presents and analyzes patrons' responses concerning their general experience with interlibrary loan. The occupational fields, education attainment levels and annual incidence of interlibrary loan usage of the patrons surveyed is reviewed and related to patron satisfaction.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

Background Information

Twenty telephone interviews were conducted with patrons in the Western 3 R's region. Three of the patrons were faculty members, three were students, ten were business/professionals, and four were classified as "other." 1/ Eight (40 percent) of the twenty requests retrieved from the request sample originated in special libraries, seven (35 percent) originated in academic libraries, and five (25 percent) originated in public libraries. Patrons from nine different member libraries were contacted: three of these were public library systems, three were academic libraries, and three were special libraries.

Student patrons in the Western region who were interviewed were from the smaller academic libraries, since we were able to obtain telephone numbers for students from these institutions. None of the student patrons of the SUNY libraries in this region are represented in the sample.

Patrons' Experience With Specific Requests

Of the twenty requests retrieved from the request sample for the patron survey in the Western region, 55 percent were monograph requests and 45 percent were serial requests. The patrons' motives for submitting these particular requests were: personal interest -15 percent; professional academic research - 5 percent; business or professional work - 55 percent; degree requirements - 15 percent; and general academic research - 15 percent. Several patrons offered elaborations of the reasons these particular requests were made. A common need expressed by patrons in this region was that of keeping abreast with the "state of the art" in their fields of work. Other patrons revealed some interesting motivations. One patron was conducting personal research on Niagara Falls postage stamps and sought an item to assist in the description and analysis of scenes depicted on the stamps. Two other patrons were about to venture into businesses -- one in bakeries and the other in corrective footwear -- and sought information on the history and new developments of these enterprises.

Of the twenty specific requests discussed with patrons, 18 (90 percent) had been filled and two (10 percent) were unavailable through interlibrary loan. The least amount of time required to complete these requests was three days and the most was 35 days. The median elapsed time for these twenty requests was 13 days.

1/ The "other" category contains all eligible patrons who were not classified as student, faculty, business or professional, plus ineligible patrons and patrons whose status was not indicated.

For the 18 filled requests, 17 respondents claimed to have used the material supplied and one could not comment on item usage. Ten patrons rated the material requested as very useful, 6 as moderately useful and one, not useful at all.

Regardless of the final status of the request (fill or non-fill), all patrons were questioned concerning their satisfaction with the handling of the specific interlibrary loan. Seventeen patrons (85 percent) claimed to have been satisfied, two patrons could not respond because they couldn't recall the request, and one patron was dissatisfied. The dissatisfaction of the latter patron issued from his claim that while he was notified of a "fill," the item never arrived at his local library.

Patrons' General Experience With Interlibrary Loan

Beyond the mere categorization of patron status, patrons' were asked to specify their occupational field. For the Western region, the following fields were represented:

Engineering	(4 patrons)
Chemical Research	(3 patrons)
Biology	(1 patron)
Biophysics	(1 patron)
Education	(3 patrons)
Experimental Psychology	(1 patron)
Business Management	(3 patrons)
Libraries	(3 patrons)
Law Enforcement	(1 patron)

Twenty percent of the patrons held Ph.D degrees, 20 percent held Masters, 5 percent professional degrees, 45 percent had B.A. degrees and 10 percent held high school diplomas. The patron sample for the Western region is characterized by a high educational level, with 90 percent of the patrons having B.A. degrees and above.

In response to a question asking for the approximate volume of interlibrary loan requests submitted during the last twelve months, the range was from one request submitted to over 1,000 requests submitted. The majority of patrons (60 percent) fell into a usage category of one to twenty interlibrary loan requests submitted annually.

All of the patrons interviewed claimed that they usually do obtain the materials requested through interlibrary loan. Seventy-five percent of the patrons said that they had not encountered any difficulties in using interlibrary loan. Of the 25 percent that had encountered difficulties, the following difficulties were cited by the patrons:

- "non-circulation of items"
- "refusual to xerox newspaper articles or certain journals"
- "the interlibrary loan forms are too detailed, a nuisance to fill out"
- "current journal issues don't circulate through interlibrary loan."

Concerning the patron's perception of the speed of service in terms of expectations at the time of request submission, 30 percent of the respondents judged the service as "quick," 15 percent felt it was "slow" and 55 percent claimed it was the speed expected, neither fast nor slow.

The patrons were questioned about the availability of other options for obtaining the desired materials. Eight of the patrons claimed there were no other options available to them. The other twelve patrons identified various options including:

- "check with other companies"
- "write directly to author or publisher"
- "contact people in my own field who might own the item"
- "ask the librarian to conduct a more thorough search"
- "check with out-of-state libraries"
- "make use of the LAP system"
- "use the computerized retrieval system"
- "visit the local medical school and use the item on premises."

In response to a question about the payment of a fee or service charge for interlibrary services, 17 patrons (85 percent) said they do not pay a fee, and 3 patrons cited instances when a fee was required for these services. All three of these charges related to copying fees of 10 cents per page and the respondents were unsure as to when the fee was charged (i.e.,after what volume of page numbers). Two of the three respondents felt the charge was reasonable, one felt it was unreasonable based upon the fact that he was not notified in advance of the charge. Two of the patrons citing fees were from special libraries and one was from an academic library.

The patrons interviewed from the Western 3 R's region comprise a group of relatively satisfied users. Only 5 patrons had experienced any difficulties in using interlibrary loan. The problems cited were of a general nature and were often qualified by the patron's statement that his particular needs were in some way esoteric. The large majority of patrons perceived the speed of service as either quick or "expected" speed. All of the respondents indicated that they normally receive requested materials.

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

Background Information

Twenty telephone interviews were conducted with patrons in the Rochester 3 R's region. Three of the patrons were faculty members, three were students, eight were business/professionals, and six were classified as "other." 1/ Seven (35 percent) of the twenty requests retrieved from the request sample originated in special libraries, four (20 percent) originated in academic libraries, and nine (45 percent) originated in public libraries. Patrons from eight different member libraries were contacted: one of these was a public library system, three were academic libraries, and four were special libraries.

In this sample of patrons, two of the three students interviewed had submitted their requests at a public library. Thus, although 45 percent of the particular requests retrieved for the patron survey had originated in a public library system, these requests were submitted by patrons of various status.

Patrons' Experience With Specific Requests

Of the twenty requests retrieved from the request sample for the patron survey, 50 percent were monograph requests and 50 percent were serial requests. The patrons' motives for submitting these particular requests were: personal interest - 40 percent; professional academic research - 10 percent; business or professional work - 35 percent; degree requirements - 10 percent; and general academic research - 5 percent.

1/ The "other" category contains all eligible patrons who were not classified as student, faculty, business or professional, plus ineligible patrons and patrons whose status was not indicated.

Some interesting details concerning the patrons' motivations for submitting these requests arose from our interviews. One patron requested a book on abnormal animal behavior because her toy poodle was suffering from a false pregnancy and the patron sought to learn about the problem. Another patron of the public library system was writing a book for the U.S. bicentennial concerning a Scottish gateway and its impact upon early U.S. history. Motivation responses ranged from such general concerns as "self-education" to very specific research topics such as "social services available to Asians settling in Kenya, Africa during the 1940's."

Of the twenty specific requests discussed with patrons, 17 (85 percent) had been filled and three (15 percent) were unavailable through interlibrary loan. The least amount of time required to complete these requests was five days and the most was 62 days. The median elapsed time for these twenty requests was 15 days.

For the 17 filled requests, 14 respondents claimed to have used the material supplied, two could not recall the specific request and could not comment on item usage, and one did not use the requested item because it arrived too late. Of the 14 patrons who could recall using the item requested, eight rated the material requested as very useful, five as moderately useful and one, as not useful at all.

Regardless of the final status of the request (fill or non-fill), all patrons were questioned concerning their satisfaction with the handling of the specific interlibrary loan. Eighteen patrons were very satisfied. The two dissatisfied patrons cited the lack of early notification of non-availability as the cause for their dissatisfaction.

Patrons' General Experience With Interlibrary Loan

The following occupational fields were represented in the patron survey for the Rochester region:

Biologist	(1 patron)
Writers	(2 patrons)
Chemists	(4 patrons)
Scientist	(1 patron)
Community work	(1 patron)
Research	(1 patron)
Geographer	(1 patron)
Medical	(3 patrons-1 pharmocologist, 1 nurse, 1 therapist)
Students	(2 patrons)
Homemaker	(1 patron)
Secretary	(1 patron)
Engineer	(1 patron)
Bookkeeping	(1 patron)

In terms of educational attainment, 70 percent of the patrons surveyed held B.A.'s or more advanced degrees, and 30 percent held at least a high school diploma.

When asked to estimate the number of interlibrary loan requests submitted during the last twelve months, patrons' responses ranged from a low of 3 requests submitted to a high of 300 requests submitted. A majority of patrons fell into the usage category of one to twenty requests submitted annually.

Ninety percent of the patrons interviewed claimed that they usually received the materials they requested through interlibrary loan. Seven of the twenty patrons contacted indicated that they had encountered difficulties in using interlibrary loan. The most common difficulty cited was that of slowness in obtaining materials. Three other difficulties encountered were of a more specific nature:

- "The centralization of the interlibrary loan system causes transmittal delay especially for non-circulating materials that must be copied. Since we cannot deal directly and immediately with the New York State Library, I feel it is more efficient to go out-of-state."
- "Items from the U.S. Geological Survey are non-circulating creating difficulties for me."
- "Photocopy is of a poor quality and the pictures and diagrams are left out. These are needed in my profession."

When asked to rate the speed of service in terms of the expectations at the time of request submission, 20 percent of the patrons rated the service as "quick," 15 percent rated it as "slow" and 65 percent said the speed was as they had expected, neither fast nor slow. Many patrons qualified their response by stating that the speed varies according to the nature of the item requested.

The patrons were questioned about the availability of other options for obtaining the desired material. Six of the patrons claimed there were no other options available to them. The other fourteen patrons identified various options for obtaining materials that are unavailable through interlibrary loan. The options cited included:

- "check private libraries"
- "write to author or publisher"

- "write out-of-state or overseas if necessary"
- "purchase item at bookstore"
- "find a substitute item"
- "try another system."

Fifteen patrons (75 percent) said they do not pay a fee or service charge for interlibrary loan, and five patrons cited instances when a fee or charge was required. Four of these charges were for handling the request (a 15 cent charge) and one was for a notification postcard (a 10 cent charge). All but one patron felt that these fees were reasonable.

In general, the patrons interviewed from the Rochester 3 R's region expressed a high degree of satisfaction with the interlibrary loan services they received. All of the patrons who cited specific difficulties with interlibrary loan other than slowness of service were academic library patrons. Three of these patrons were faculty and one was a student. In each case, the patron was a heavy user of interlibrary loan, had very specific research needs, often requested rare items, and often had writing deadlines to meet. These same patrons were the most imaginative of those interviewed in identifying alternative options for obtaining needed materials.

CAPITAL DISTRICT LIBRARY RESOURCES COUNCIL

Background Information

Twenty telephone interviews were conducted with patrons in the Capital District 3 R's region. Eleven of the patrons were faculty members, one was a student, five were business/professionals, and three were classified as "other." 1/ Four (20 percent) of the twenty requests retrieved from the request sample originated in special libraries, nine (45 percent) originated in academic libraries, and seven (35 percent) originated in public libraries. Patrons from seven different member libraries were contacted: two of these were public library systems, three were academic libraries, and one was a special library.

1/ The "other" category contains all eligible patrons who were not classified as student, faculty, business or professional, plus ineligible patrons and patrons whose status was not indicated.

Because many of the coding sheets for the Capital District request sample did not include the identity of the requestor, the drawing of twenty requests for the patron survey was not truly random. This lack of randomness accounts for the under-representation of students, and of requests originating at special libraries, and for the over-representation of faculty patrons in the sample.

Patrons' Experience With Specific Requests

Of the twenty requests retrieved from the request sample for the patron survey, 50 percent were monograph request, 45 percent were serial requests, and one was a request for a thesis. The patrons' motives for submitting these particular requests were: personal interest - 25 percent; professional academic research - 30 percent; business or professional work - 25 percent; and general academic research -20 percent.

While most of the patrons of academic status (faculty or student) requested items through interlibrary loan for some type of current research, one professor used the services to procure a book which would teach him to play tennis. Three patrons used interlibrary loan to nourish such unusual hobbies as learning about shipwrecks, shortwave listening and the restoration of barns and other old structures. Two patrons were writing articles in hopes of publishing: one topic concerned the amalgamation of "off-beat" items from American history, and the other article dealt with women's expectations of adult role behavior. The motivations were as broad as to "keep abreast in my field" and as technical as the "learning of non-published mathematical models applicable to research in the atmospheric sciences."

Of the twenty specific requests discussed with patrons, 19 (95 percent) had been filled and one (five percent) was unavailable through interlibrary loan. The least amount of time required to complete the fourteen requests for which time data was supplied was three days and the most was 75 days. The median elapsed time for the fourteen requests was 6 days.

For the 19 filled requests, 17 respondents claimed to have used the material supplied, and two did not use the requested item. One of these respondents said the material was unused because it arrived too late. The other said that the requested material had been located elsewhere prior to its delivery under interlibrary loan. Of the 17 patrons who reported using the material they had requested, eight rated it as very useful, eight as moderately useful and one as not useful at all.

Regardless of the final status of the request (fill or non-fill), all patrons were questioned concerning their satisfaction with the handling of the specific interlibrary loan. Nineteen patrons expressed general satisfaction and one was dissatisfied because of the length of time it took to receive the requested item and the lack of notification of progress in processing the request.

Patrons' General Experience With Interlibrary Loan

Since the patrons interviewed in the Capital District region included a high proportion of faculty, the occupational fields of these twenty patrons is educationally oriented. The fields represented were:

Political Science	(1 patron)
Education	(1 patron)
Psychology	(1 patron)
History	(1 patron)
Biology	(2 patrons)
Medical Sociology	(1 patron)
Atmospheric Sciences	(1 patron)
Nursing Education	(3 patrons)
Education-high school level	(1 patron)
Medical	(3 patrons-2 physicians, 1 nurse)
Student	(1 patron, business administration)
Carpentry	(1 patron)
Business Management	(1 patron)
Retirement from Government service	(1 patron)
Consulting-research	(1 patron)

Ninety percent of the patrons interviewed held B.A. degrees or higher and the other 10 percent were high school graduates.

When asked to estimate the number of interlibrary loan requests submitted during the last twelve months, patrons' responses ranged from a low of one request submitted to a high of 250 requests submitted. A majority of patrons fell into the usage category of six-to-ten requests submitted annually.

Ninety-five percent of the patrons claimed that they usually did obtain materials requested through interlibrary loan. Despite this high acquisition rate, one-half of the patrons said that they had encountered difficulties in using this service. The specific difficulties are presented in unedited form below:

- "failure to notify patron of delays in progress of requests"
- "my students encounter interlibrary loan delays and cannot complete research papers on time"
- "newer books are not available through interlibrary loan"
- "I make several requests over a period of time, they all seem to arrive at once and I can't use them all within the time alloted. I can't keep books long enough and they must be returned to the shelf before recharging"
- "journals are listed as available in major libraries and when checked they are never available"
- "if the page size is too large the item can't be xeroxed; perhaps a reducing xerox machine is needed"
- "concerning non-circulating materials, I have been refused a xerox copy because the article was too lengthy"
- "unclean xeroxing is a problem--also, the large libraries are uncooperative about xeroxing non-circulating items"
- "The State Library is overcrowded, staff competence is low--I myself have seen a book on the shelf at the Library; when I request it through interlibrary loan they claim it is unavailable. After many trips, I do receive the item"
- "interlibrary loan is slow - librarians don't follow my search suggestions."

When asked about the perceived speed of service in terms of patron expectations at the time of request submission, 30 percent of the patrons felt the service was "quick," 10 percent rated it as "slow" and 60 percent claimed the speed was as they had expected, neither fast nor slow.

Eleven patrons claimed that they had no other options available to them if they failed to obtained requested material through interlibrary loan. The other nine patrons identified various other options, including:

- "write overseas"
- "if non-circulating check union catalogue for holdings, go to the library and use it on location"
- "write to the publisher"
- "purchase the item"
- "find a substitute source"
- "keep trying, it might be missed the first time around."

Eighteen patrons (90 percent) said they do not pay a fee or service charge for interlibrary loan, although the phrase "just my taxes" was mentioned frequently by these patrons. Two patrons cited instances when a fee or charge was required. One of these patrons felt that payment (10 cents per page) for large quantities of photocopy was justified. The other patron, a faculty member patronizing a small academic library, must pay 50 cents for each item he requests through interlibrary loan. When asked if this amount seemed reasonable the patron responded, "I understand that 50 cents charge because our library is small and poorly funded, but professors should not be penalized."

While the patrons interviewed from the Capital District region expressed a high level of satisfaction with the handling of the specific requests we had retrieved from the request sample, these patrons also reported a high incidence of difficulty in using interlibrary loan. The majority of patrons who indicated they had encountered difficulties were academic library patrons. They were also the patrons falling into the high interlibrary loan usage category.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

Background Information

Twenty telephone interviews were conducted with patrons in the Southeastern 3 R's region. Seven of the patrons were faculty members, two were students, five were business/professionals, and six were classified as "other." 1/ Three (15 percent) of the twenty requests retrieved from the request sample originated in special libraries, eight (40 percent) originated in academic libraries, and nine (45 percent) originated in public libraries. Patrons from nine different member libraries were conducted: two of these were public library systems, five were academic libraries, and two were special libraries.

1/ The "other" category contains all eligible patrons who were not classified as student, faculty, business or professional, plus ineligible patrons and patrons whose status was not indicated.

Patrons' Experience With Specific Requests

Of the twenty requests retrieved from the request sample for the patron survey, 60 percent were monograph requests, 35 percent were serial requests, and one was a request for an unpublished thesis. The patrons motives for submitting these particular requests were: personal interest - 40 percent; professional academic research - 25 percent; business or professional work - 10 percent; academic degree requirements - 15 percent; and general academic research - 10 percent.

Elaboration of these purposes revealed a variety of patron interests and needs. One patron in the medical profession had requested a journal dealing with paraplegia to aid him in the rehabilitation of a patient. A public library patron had sought a book concerning museums for the purpose of investigating museum work as a possible career field. Other responses were as general as "hobby cultivation" and as specific as the acquisition of all criticisms of William Faulkner's writings.

Of the twenty specific requests discussed with patrons, 17 (85 percent) had been filled and three (15 percent) was unavailable for interlibrary loan. The least amount of time required to complete these requests was two days and the most was 25 days. The median elapsed time for these twenty requests was 13 days.

For the 17 filled requests, 16 respondents claimed to have used the material supplied, and one did not use the item because it arrived too late for the patron's purposes. Of the 16 patrons who reported using the material they had requested, nine rated it as very useful, five said it had been moderately useful and two as not useful at all.

Regardless of the final status of the request (fill or non-fill), all patrons were questioned concerning their satisfaction with the handling of the specific interlibrary loan. Nineteen patrons were satisfied with the way their requests had been handled. One patron expressed dissatisfaction. This particular patron was a faculty member using an academic library. His request entailed the photostating of a microfilm (resulting in white print on a dark background). The patron had hoped to duplicate the photostat for use as a handout in his class. Duplication of a white-on-black photostat is impossible and thus the patron's intentions could not be fulfilled.

Patrons' General Experience With Interlibrary Loan

The following occupation fields were represented in the patron survey sample for the Southeastern region:

Biology Research	(1 patron)
Social Work	(2 patrons)
Medicine	(1 patron)
Business Management	(1 patron)
Clergy	(1 patron)
Primary/Secondary Education	(2 patrons)
Student-library science, art history	(2 patrons)
College teaching Political Science, Economics, Chinese, History, American History, Languages, English)	(8 patrons)
Research	(1 patron)
Artist	(1 patron)

The patron sample was a very highly educated group, with 90 percent of the patrons holding B.A. degrees or higher.

When asked to estimate the number of interlibrary loan requests submitted during the last twelve months, patrons' responses ranged from a low of one request submitted to a high of 100+ requests submitted. The highest concentrations of reported usage fell into the one-to-five and the fifty-to-a-hundred categories.

All of the patrons surveyed indicated that they usually receive the material requested through interlibrary loan. Three patrons claimed to have encountered difficulties in using this service. The three difficulties cited were:

- "dissertations are not on microfilm"
- "I have difficulty in obtaining certain government documents, particularly pre-1945 congressional hearings and pre-1930 War Department documents. The difficulties seem to stem from numerous classifications of the holdings."
- "several (not the majority) of my requests could not be filled."

When asked to rate the speed of service in terms of expectations at the time of request submission, 10 percent of the patrons rated the service as "quick" and 90 percent claimed that the service was as they had expected, neither fast nor slow.

Ten of the patrons claimed that they had no other options available to them if they failed to obtain requested material through interlibrary loan. The other ten patrons identified various other options, including:

- "purchase the item"
- "check with out-of-state libraries"
- "use personal contacts"
- "write the National Archives."

Sixteen patrons (80 percent) said they do not pay a fee or service charge for interlibrary loan. The four patrons that cited instances of having to pay for an interlibrary loan request felt that these charges, which were for photocopying and postcard notification, were reasonable.

The patrons interviewed from the Southeastern region expressed a high level of satisfaction with interlibrary loan services. Of the three patrons who cited difficulties in using interlibrary loan, two were faculty members using academic libraries and one was a business/professional patron using a special library. In each of these cases, the patron explained that the material being sought was either esoteric, highly technical, or very old. All three of these patrons fell into the high interlibrary loan usage category.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

Background Information

Twenty telephone interviews were conducted with patrons in the Long Island 3 R's region. Six of the patrons were faculty members, three were students, eight were business/professional, and three were classified as "other". 1/ Six (30 percent) of the twenty requests retrieved from the request sample originated in special libraries, eight (40 percent) originated in academic libraries, and six (30 percent) originated in public libraries. Patrons from twelve different member libraries were contacted: one of these was a public library system, seven were academic libraries, and four were special libraries.

1/ The "other" category contains all eligible patrons who were not classified as student, faculty, business or professional, plus ineligible patrons and patrons whose status was not indicated.

(One of the public library systems in the Long Island region is not represented in this patron sample. This outcome was not by design but is explained by the fact that the primary coding sheets for this system from which the patron sample was drawn failed to identify the requestors' name. This public library system refers most of its interlibrary loan requests directly to the New York State Library and only files the teletype messages to record the requests. As the teletype messages do not show the requestor's name, our research assistants could not provide patron names for the requests from this system.)

Patrons' Experience With Specific Requests

Of the twenty requests retrieved from the request sample for the patron survey, 70 percent were monograph requests and 30 percent were serial requests. The patrons' motives for submitting these particular requests were: personal interest - 15 percent; professional academic research - 10 percent; business or professional work - 45 percent; degree requirements - 10 percent; and general academic research - 20 percent.

There were some interesting elaborations of patrons' motivations for seeking the requested material. One patron, a member of the clergy, is building a parish church and felt the need to conduct extensive research on architectural designs for churches before embarking on the project. Another patron, troubled by a back injury, requested a book of exercises which he claimed did wonders for his ailment. A patron who works in the field of counselling high school students was motivated to request an item to assist in the design of a program to prevent alcoholism amoung young adults.

Of the twenty specific requests discussed with patrons, 18 (90 percent) had been filled and two were unavailable through interlibrary loan. The least amount of time required to complete these requests was two days and the most was 34 days. The median elapsed time for these twenty requests was 9.5 days.

For the eighteen filled requests, 16 respondents claimed to have used the material supplied, and two did not use the requested item. One of these respondents said the material was unused because it arrived too late. The other said that the requested material had been located elsewhere prior to its delivery under interlibrary loan. Of the 16 patrons who reported using the material they had requested, five rated it as very useful and the other eleven as moderately useful.

Regardless of the final status of the request (fill or non-fill), all patrons were questioned concerning their satisfaction with the handling of the specific interlibrary loan. Seventeen patrons said they were very satisfied, and three expressed dissatisfaction. The reasons offered by the dissatisfied patrons were: "the service was slow and the item arrived too late for my purpose," "the people at the library were uncooperative" and "the librarian would not follow my search suggestions, causing delay."

Patrons' General Experience With Interlibrary Loan

The following occupational fields were represented in the patron sample for the Long Island region:

Counselling in Education	(2 patrons)
Engineering	(3 patrons)
Secretaries	(2 patrons)
Library Science	(3 patrons)
Clergy	(1 patron)
Business Administration	(2 patrons)
Government Work	(1 patron)
Teacher	(1 patron)
College Teaching	(2 patrons)
Nuclear Physics	(1 patron)
Medical Student	(1 patron)
University Dean	(1 patron)

Eighty percent of the patrons interviewed held B.A. degrees or higher and the other 20 percent were high school graduates or held more advanced educational certificates. Twelve of the twenty patrons interviewed held Masters or Ph.D. degrees, indicating a high level of educational attainment in the sample.

When asked to estimate the number of interlibrary loan requests submitted during the last twelve months, patrons' responses ranged from a low of one request submitted to a high of 2,000 requests submitted. Sevnty percent of the patrons interviewed indicated that they had submitted between one and twenty requests during the last year.

Ninety-five percent of the patrons said that they usually did obtain the materials requested through interlibrary loan. Despite this high acquisition rate, nine patrons (45 percent) said that they had encountered difficulties in using this service. The specific difficulties are presented in unedited form below:

- "poor photocopies of microfilms"
- "inaccuracies in bibliographic citations are quite common, locating foreign materials is difficult; the time for the complete loan process to transpire seems to be increasing"
- "publications are in the binding process at the same time in many libraries making these materials unavailable to the patron"
- "I experience lengthy delays in obtaining materials --could be the exotic nature of my requests"
- "items published in the last six months are not available through interlibrary loan"
- "texts of infrequent conferences and proceedings are often unavailable"
- "many very old items do not circulate and can't be xeroxed. I think there should be provisions for doctoral dissertation students needing these items"
- "the filling out of interlibrary loan forms is bothersome, they are too detailed"
- "once a loan I was using was called back because it was needed elsewhere, when I requested the item again, my request was refused and I am still waiting."

When asked about the perceived speed of service in terms of patron expectations at the time of request submission, 20 percent of the patrons felt the service was "quick," 35 percent rated it "slow" and 45 percent claimed the speed was as they had expected, neither fast nor slow.

Eight patrons claimed that they had no other options available to them if they failed to obtain requested material through interlibrary loan. The other twelve patrons identified various other options, including:

- "write the publisher"
- "search out-of-state libraries"
- "purchase the item"
- "travel to the library having the item but unwilling to lend it"
- "write the author for a reprint"
- "write the Library of Congress."

Eighteen patrons (90 percent) said they do not pay a fee or service charge for interlibrary loan. One patron identified a charge of 12 cents per loan which he deemed reasonable. The other patron, responding as a librarian, said the library pays $2.00 for a request and received credit back for a "fill." Another patron of an academic library said that he does not personally pay anything but the university does pay for the service and there is currently some discussion of the cost versus usage.

While the majority of patrons interviewed from the Long Island region expressed a high level of satisfaction with the handling of the specific requests we had retrieved from the request sample, many of these patrons also reported a high incidence of difficulty in using interlibrary loan. The majority of patrons who indicated they had encountered difficulties were highly educated users. They were also the patrons falling into the higher interlibrary loan usage categories.

Two of the three cases of dissatisfaction with the handling of the specific requests we had retrieved from the request sample were due to the slowness of the service provided in terms of the patrons' needs. All three student patrons interviewed said that interlibrary loan was generally too slow.

FINDINGS AND CONCLUSIONS FOR THE PATRON SURVEY

The statements presented here suggest tendencies that arise from an overview of the entire patron survey of 100 cases. These tendencies derive more from the characteristics of patron groups and their general reactions to interlibrary loan services than from regional or local distinctions in interlibrary loan services.

General Findings and Conclusions

- Most patrons are satisfied with the interlibrary loan service they receive.

- A common motivation for use of interlibrary is that of "keeping abreast with the state-of-art" or "keeping current in my field."

- Another frequently expressed motivation for requesting material was to obtain material on sports, exercise and general physical well-being for personal interest.

- Time limitations have a great bearing on the satisfaction level of the patron. Although the patron may be fully aware of procedures and understand delays resulting from thorough searches for materials, his rationality tends to be influenced by personal concerns and time constraints which reduce satisfaction levels.

- Higher levels of user satisfaction appear to be correlated with lack of familiarity with library networks and other resources, low usage or exposure to interlibrary loan, and a low demand profile as determined by patron status, occupational needs, or educational attainment.

Findings and Conclusions Relating to Patron Status

- Faculty patrons seem to demonstrate the highest annual volume of usage. Their requests are often for journal articles of a somewhat esoteric subject nature. The reasons for their requests tend to fall into the category of professional use.

- Business/professional patrons also exhibit high annual usage, make requests of an esoteric nature, and are generally motivated to submit requests for professional needs.

- The faculty and business/professional patrons share similar reactions to interlibrary loan services. They tend to be the most critical -- these criticisms normally arising from difficulties encountered in using the service. Several interpreted findings from the patron survey support this general observation:

    a. Faculty and business/professional patrons are heavy users. The greater the exposure to services, the greater the likelihood of encountering problems resulting in substance for criticism.

    b. The incidence of difficulty experienced is correlated with, and often a result of, the esoteric nature of requests. (Esoteric, as used here, may mean that the item is rare, extremely old, published and located overseas, published only in a foreign language, highly technical, etc.)

c. Patrons in these status categories tend to be more demanding in terms of the service expected. It is assumed that the demand for such service is associated with these patrons' professional needs and time constraints.

- Faculty and business/professional patrons tend to be the most innovative in their expressions of other available options for obtaining needed materials. This observation is supported by the following interpreted findings of the survey:

  a. These patrons demonstrate sophisticated familiarity with their fields of endeavor, they have extensive contacts and tend to be very knowledgeable of existing resources.

  b. These patrons are not satisfied by a request notification of "not available."

  c. These patrons see their library system as "the world" and refuse to be bound by what is available in "local" collections.

- Student patrons tend to be the least satisfied with the speed of interlibrary loan. Presumably this dissatisfaction derives from the time constraints under which students operate, such as length of courses, term paper deadlines, etc.

- Requests from students tend to be submitted for either degree requirements or for general academic research in support of coursework.

- Patrons falling in the "other" status category tend to be characterized by a comparatively lower annual volume of requests. Their requests are not of an esoteric nature and are most highly correlated with personal interest motivations.

- Patrons of the "other" status category seem to operate under less time constraints than do the previously discussed patrons, and have experienced a less amount of difficulty with interlibrary loan owing to less exposure and a generally lower demand profile.

- "Other" status patrons tend to be the least resourceful with respect to specifying alternatives for obtaining needed materials.

Findings and Conclusions Relating to Patrons Occupational Field and Educational Background

- A highly educated group of patrons use interlibrary loan. It is assumed that occupations which require high educational attainment are characterized by the continual need for reference, research, keeping abreast of the "state-of-the-art."

- The more highly educated a patron is, the more esoteric his requested materials tend to be.

- High educational attainment tends to correlate with lower satisfaction levels expressed by the patron. Presumably this derives from a higher demand profile defined in terms of expectations and needs.

- The highly educated tend to be the most vociferous and articulate in their criticisms of interlibrary loan.

- In terms of occupation, professionals and semi-professionals appear to make the greatest use of interlibrary loan.

SECTION V

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS

The focus of this cost analysis was limited to a determination of the annual dollar outlays by the State Education Department and the five 3 R's Councils in support of the processing of interlibrary loan requests in the five regions under study. In each region, "regional interlibrary loan processing costs" were considered to include: (1) expenditures by the 3 R's Council for activities in support of the processing of interlibrary loan requests within the region, or between the region and the State Library; (2) expenditures by the 3 R's Council for contract services in support of the processing of interlibrary loan requests within the region, or between the region and the State Library; and (3) expenditures by the State Education Department for contract services in support of the processing of interlibrary loan requests within the region or between the region and the State Library. As used in this study, the term "regional interlibrary loan processing costs" does not include the costs incurred by borrowing or by lending institutions in support of the processing of interlibrary loan requests within the region, unless these costs are reimbursed through contractual payments by either the 3 R's Council or the State Education Department.

This cost analysis was guided and restricted by several decisions affecting the collection of financial data from each Council and the allocation of each Council's total expenditures to activities that facilitate regional interlibrary loan. These decisions were as follows:

- Checchi would not conduct time-and-motion studies or otherwise try to establish regional interlibrary loan processing costs by actual measurement. Instead, annual outlays by each 3 R's Council would be attributed to regional interlibrary loan processing on the basis of estimates of the portion of these expenditures that serve to facilitate regional interlibrary loan. These estimates were developed in meetings with the directors of the Western, Rochester, Capital District and Southeastern Library Councils, and with the financial/statistical clerk of the Long Island Council. In three of the regions, Council staff who participate in regional interlibrary loan activities also contributed to the discussions regarding the allocation of costs.

- Financial data would be secured from each Council for its most recently completed accounting year. Since the Capital District, Southeastern and Long Island Library Councils maintain fiscal year (i.e., July to June) statistics, and the Western and Rochester Councils maintain calendar year (i.e., January to December) statistics, the regional interlibrary loan processing costs reported herein are for the period July 1, 1974 to June 30, 1975 in the Capital District, Southeastern and Long Island Councils, and for the period January 1, 1974 to December 31, 1974 in the Western and Rochester Councils.

- The analyses of regional interlibrary loan processing costs would be limited to expenditures for labor, materials, supplies and services. Overhead expenditures by the 3 R's Councils for such items as space, office furniture and equipment, and utilities would not be included.

- Estimated costs would be used only if actual expenditures for labor, materials, supplies or services during the twelve-month period in question were unavailable. Estimated costs were used only for the Capital District Council. That Council's director provided estimated expenditures for 1974-75 rather than actual outlays, and indicated that the difference between the two would be very small.

- Non-equipment capital expenditures during the year in question that would serve to facilitate regional interlibrary loan for several years in the future would be amortized based on each director's estimate of the useful "life" of that expenditure.

- Equipment expenditures during the year in question that would serve to facilitate regional interlibrary loan for several years in the future would be amortized on the basis of a ten year "life" unless otherwise specified by the Council director.

- Finally, expenditures during the year in question for the production and distribution of regional union lists would not be included because of the very significant difference among the five Councils in the frequency, manner and costs of providing member libraries with union lists of serials.

The financial data collected at each of the five Councils was allocated to regional interlibrary loan processing as either a "Search Cost" or a "Fill Cost." These two cost categories and their component elements are defined below:

"Search Costs" include those expenditures which are incurred by the 3 R's Council or by contracted regional resource libraries in the process of receiving interlibrary loan requests, verifying requests, searching files and catalogues or otherwise ascertaining locations where the request may be filled, referring requests to institutions for possible filling, communicating the status of requests, and record-keeping. The components of Search Costs utilized for this analysis were Labor, Communications, Supplies, and Other Costs.

- The Labor Component includes three expenditure items: the salaries of Council staff which were allocated to regional interlibrary loan processing; fringe benefits which accrue to that staff; and a portion of the contract payments received by institutions in the Western and Rochester regions for their processing of interlibrary loan for the region.

  The apportioned salary and associated fringe benefits of the Council director have been reported separately from the salaries and fringe benefits of other Council staff who participate in processing interlibrary loan requests. Fringe benefits were calculated either on a flat rate basis across-the-board or on the basis of differing benefits accruing to different categories of employees.

  Contract payments relating to the interlibrary loan processing function include the $3300 participation grant received by each State-funded institution and the $1.00 payment by the State for each item searched. In the case of the Rochester Council's contract with the Rochester Public Library, the total unit payment ($1.30 per transaction) has been assigned to the Search Cost because there is no accurate method of determining the proportion relating to "filled" items, and because that library is not paid on any type of "fill" basis.

- The Communications Component of Search Costs includes expenditures for postage, telephone (including long distance charges), teletype (either machine rental or the use fee paid to another institution), and photocopying. The Rochester Council has also subsidized a number of telex machines at member institutions and this expenditure has been included in this category. Additionally, minor travel and/or publicity expenditures incurred on behalf of the interlibrary loan function have been considered communications expenditures.

- The Supplies Component of Search Costs includes expenditures for office supplies and, in the case of the Southeastern Council, for the printing of regional interlibrary loan forms.

- The Other Costs Component of Search Costs includes large amortized outlays for equipment or services (such as an OCLC terminal or the microfilming project undertaken by the Long Island Council) 1/ and routine expenditures for bibliographic materials utilized by the interlibrary loan processing staff. Also included in Other Costs are expenditures for printing and binding interlibrary loan manuals, and costs incurred by Councils in presenting conferences or seminars to instruct member library personnel on regional interlibrary loan procedures.

"Fill Costs" include those expenditures which are incurred by the 3 R's Council or by contracted regional resource libraries in the process of making a located item available for loan, and in delivering and returning loaned items. The components of Fill Costs utilized for this analysis were Contract Payments and Delivery Costs.

- The Contract Payments Component of Fill Costs includes the balance of the State's unit referral and fill payments to the State-funded institutions in the Western and Rochester regions. These payments are the $2.00 fee paid for each request filled and the "extra fill fee" (also $2.00) for photocopying from 13 to 24 pages of any serial request.

- The Delivery Cost Component of Fill Costs includes expenditures for salaries and fringe benefits paid to Council staff who perform the delivery function; for vehicle rental, maintenance and operations; or for payments to other organizations that delivery borrowed and returned materials within a region on a contract basis.

The discussion below presents the dollar outlays during 1974 or 1974-75 by the State Education Department and the 3 R's Council in each of the five regions under study in support of the processing of interlibrary loan requests within the region, and between the region and the State Library and NYSILL network.

1/ Because estimates of OCLC terminal life by the directors of the two Councils using this equipment varied so widely (six to 20 years), a ten-year life was assumed and costs were amortized on that basis. The cost of the Long Island Council microfilming of member catalogues was amortized on the basis of a five-year life estimate, while the microfilm readers and other related equipment were amortized on a ten-year basis.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

The headquarters of the Western New York Library Resources Council serves as a bibliographic center and borrowing agent for member library loan requests that are routed to the Council's staff for processing within the region. Requests received at the Council headquarters are referred to one or both of the two regional resource libraries. 1/ If the requested item is unavailable, inquiries are made by the Council's staff to other member libraries in the region that may be able to lend the material, or the loan request is referred directly to the State Library. If a member library that will lend the requested item is identified, the request is referred by the Council to that library for processing. If no library able to lend the material or provide a photocopy is found in the region, the request is either referred to the State Library 2/ or returned unfilled to the originating library. The Council also provides an interlibrary loan delivery service for its member libraries.

At the Council's offices in Buffalo, two interlibrary loan assistants spend most of their time receiving, referring, making inquiries about, and maintaining records on loan requests routed to the Council by member libraries. The director's secretary also assists with this work. The staff time spent on interlibrary loan processing by these individuals during 1974 has been costed at $18,302, including fringe benefits at 25 percent of salary. In addition, the director estimated that ten percent of his time should be allocated to the Council's interlibrary loan activities. This staff time, and the associated fringe benefits, cost $2,375 in 1974. These personnel expenditures have been treated as Search Costs in this analysis, in accordance with the definitions presented earlier.

1/ The Buffalo and Erie County Public Library and the SUNY at Buffalo libraries. These two institutions are reimbursed by the State for their participation in the regional interlibrary loan program as regional resources libraries. The staffs of these resource libraries perform all the work involved in processing regional interlibrary loan requests that are referred to them.

2/ All referrals by the Council to the State Library are transmitted by one of the regional resource libraries, the Buffalo and Erie County Public Library.

During the period April 1, 1974 to March 31, 1975, the Buffalo and Erie County Public Library received $27,014 for its role as a resource library for the Western New York Council. 1/ Of this amount, $3,300 represents the standard participation grant, all of which has been treated as a Search Cost; $10,500 represents the payment for 10,500 requests searched at the library, all of which has been treated as a Search Cost; $11,964 represents the payment for 5,982 requests searched at the library and filled, all of which has been treated as a Fill Cost; and $1,250 represented the "extra fill fee" payment for photocopying articles exceeding 12 pages in length, all of which has been treated as a Fill Cost. Thus, the total payment by the State of $27,014 has been costed in this analysis as $13,800 in Search Costs and $13,214 in Fill Costs.

During that same period -- April 1, 1974 to March 31, 1975 -- the SUNY at Buffalo libraries received $25,327 for their role as regional resource libraries for the Western New York Council. This amount includes the $3,300 participation grant, $8,375 for 8,375 requests searched, $11,946 for 5,973 requests searched and filled, and $1,706 for the "extra fill fee." Following the procedures for cost allocation, $11,675 of the State's payment to the SUNY at Buffalo libraries has been costed as Search Costs and $13,652 has been costed as Fill Costs.

The communications expenditures by the Council during 1974 that have been attributed to its regional interlibrary loan processing activities include $876 for telephone, postage and teletype, and $1,215 for photocopying. Both of these amounts have been treated as Search Costs.

The Search Costs also include a Supplies Component. The Council's expenditures for supplies during 1974 that were incurred because of the Council's participation in regional interlibrary loan processing were estimated at $655.

The Council also incurs a number of other costs because of its regional interlibrary loan processing activities. In 1974, these expenditures included $275 for library materials, and $342 for the preparation of a regional interlibrary loan manual and for a conference for area librarians to review loan procedures. Both these amounts have been treated as Search Costs.

The final component included in the analysis of costs for the Western New York Council is Delivery Costs. In 1974, the Council paid the United Parcel Service $6,052 to provide pick-up and delivery of loaned and returned materials for 15 of the Council's member libraries. This expenditures has been treated as a Fill Cost.

1/ This library received additional payments from the State during this period for its role as one of the area referral libraries in the NYSILL network. Those payments have been excluded from this cost analysis.

Exhibit V-1 presents the results of the analysis of regional interlibrary loan processing costs in the Western 3 R's Council. As indicated in the exhibit, the total dollar outlays by the State Education Department and the Council in support of the processing of interlibrary loan requests within the region, and between the region and the State network, was $82,445 during 1974. [1] Of this total, $49,527 has been costed as Search Costs and $32,918 has been costed as Fill Costs.

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

The headquarters of the Rochester Regional Research Library Council is not directly involved in the processing of interlibrary loan requests within the region. Member libraries do not route requests to the Council's staff. Requests are referred by the originating library directly to one of the two regional resource libraries [2] and then, if unavailable, are circulated among the member libraries for possible filling through a "Want List" mechanism, and/or are referred to the State Library. The "Want List" process and State Library referrals are administered for the Council by one of the regional resource libraries. The Council also contracts for an interlibrary loan delivery service for its member libraries.

At the Council's offices in Rochester, one part-time clerk spends a portion of her time maintaining interlibrary loan statistics on the basis of reports submitted by the resource and member libraries. The staff time devoted to this activity during 1974 has been costed at $1,926, including fringe benefits of six percent of salary. None of the director's time was apportioned to the Council's interlibrary loan activities in 1974. The total personnel expenditure of $1,926 has been treated as a Search Cost in this analysis, in accordance with the definitions presented earlier.

During 1974, the Rochester Public Library received $6,932 for its role as a resource library and administrative center for the interlibrary loan operations of the Rochester Council. This amount represents $1.30 for each request handled by the Rochester Public Library during 1974, regardless of its being filled or not filled by that library. Thus, the total payment by the Council of $6,932 has been treated as Search Costs for purposes of this analysis.

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[1] The State outlays for contract payments to the two regional resource libraries were for the period April 1974 through March 1975.

[2] The Rochester Public Library and the University of Rochester libraries. The former is reimbursed by the Council for its participation in the regional interlibrary loan program. The later is reimbursed by the State.

EXHIBIT V-1

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS
WESTERN NEW YORK LIBRARY RESOURCES COUNCIL
1974

Search Costs		$ 49,527
Labor Component		$ 46,152
Council Director	$ 2,375	
Council Staff	18,302	
Contract Payments	25,475	
Communications Component		2,093
Telephone, Postage, Teletype	$ 878	
Photocopying	1,215	
Supplies Component		665
Other Costs Component		617
Library Materials	$ 275	
Manual and Conference	342	
Fill Costs		$ 32,918
Contract Payments Component		26,866
Delivery Costs Component		6,052
TOTAL PROCESSING COSTS		$ 82,445

During the period April 1, 1974 to March 31, 1975, the University of Rochester libraries received $60,973 for their role as regional resource libraries for the Rochester Council. Of this amount, $3,300 represents the standard participation grant, all of which has been treated as a Search Cost; $23,755 represents the payment for 23,755 requests searched at the libraries, all of which has been treated as a Search Cost; $31,200 represents the payment for 15,600 requests searched at the libraries and filled, all of which has been treated as a Fill Cost; and $2,718 represents the "extra fill fee" payment, all of which has been treated as a Fill Cost. Thus, the total payment by the State of $60,973 has been costed in this analysis as $27,055 in Search Costs and $33,918 in Fill Costs.

The communications and supplies expenses associated with regional interlibrary loan processing in this 3 R's Council are borne by the regional resource libraries and by the member libraries rather than by the Council. During 1974, however, the Council did subsidize teletype machines in a number of the member libraries at a total cost of $5,246. This amount has been treated as a communications Search Cost in this analysis. 1/

The one other cost incurred by the Council in 1974 because of its regional interlibrary loan processing activities was a $1,289 expenditure for printing the interlibrary loan procedures manual which the Council distributed to its member libraries. This amount was also treated as a Search Cost.

The final component included in the analysis of costs for the Rochester Council is Delivery Costs. In 1974, the Council paid the three public library systems within its boundaries a total of $22,120 in contract fees to provide pick-up and delivery of loaned and returned materials for the Council's member libraries. This expenditure has been treated as a Fill Cost.

Exhibit V-2 presents the results of the analysis of regional interlibrary loan processing costs in the Rochester 3 R's Council. As indicated in the exhibit, the total dollar outlays by the State Education Department and the Council in support of the processing of interlibrary loan requests within the region, and between the region and the State network, was $98,486 during 1974. 2/ Of this total, $42,448 has been costed as Search Costs and $56,038 has been costed as Fill Costs.

1/ In 1975, the Council did not continue this subsidy. Those member libraries wishing to continue the use of teletype will pay the costs directly.

2/ The State outlay for contract payments to the one regional resource library it supports was for the period April 1974 through March 1975.

EXHIBIT V-2

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS
ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL
1974

Search Costs		$ 42,448
Labor Component		$ 35,913
Council Staff	$ 1,926	
Contract Payments	33,987	
Communications Component		5,246
Teletype	$ 5,246	
Supplies Component		-0-
Other Costs Component		1,289
Manual	$ 1,289	
Fill Costs		$ 56,038
Contract Payments Component		$ 33,918
Delivery Costs Component		$ 22,120
TOTAL PROCESSING COSTS		$ 98,486

CAPITAL DISTRICT LIBRARY COUNCIL FOR REFERENCE AND RESEARCH RESOURCES

The headquarters of the Capital District Library Council serves as a bibliographic center for regional interlibrary loan requests that are routed to the Council's staff for member library holdings information. The Council staff does not make borrowing inquiries of known or suspected holders of the requested item, and does not make interlibrary loan arrangements between member libraries. The member libraries perform all the borrowing and lending functions in processing interlibrary loan requests within the region. They rely on the Council staff as a source of in-region and out-of-region holdings information for requested items that they themselves are uncertain where to locate. 1/ The Council also provides an interlibrary loan delivery service for its member libraries.

At the Council's offices in Troy, a catalog librarian, a serials librarian and eight professional and clerical hourly employees spend a portion or all of their time receiving, providing locations information for, and maintaining records on loan requests routed to the Council by member libraries; and, maintaining the Council's union card catalog. The director's secretary and the OCLC terminal operator also assist with this work. The staff time spent on catalog and file maintenance and on interlibrary loan bibliographic work by these individuals during 1974-1975 has been costed at $40,996, including fringe benefits at 16 percent of salary for the full-time staff and six percent of salary for the hourly staff. None of the director's time was apportioned to the Council's interlibrary loan activities during 1974-1975. The total personnel expenditure of $40,996 has been treated as a Search Cost in this analysis, in accordance with the definitions presented earlier.

None of the member libraries of the Capital District Council receive payments from either the State or the Council to function as resource libraries for the region. Thus, the Labor Component of Search Costs is limited to the personnel expenditures described above.

1/ During the period covered by this analysis, all the member libraries of the Capital District Library Council were able to refer requests directly to the State Library. In mid-1975, a new procedure was adopted that requires most member libraries to send State Library referrals to the Council headquarters for transmittal to the State Library. Seven member libraries have been allowed to continue their practice of direct referral of requests to the State Library.

The communications expenditures by the Council during 1974-75 that have been attributed to its regional interlibrary loan activities total $3,025. Most of this amount represents telephone expenditure, but teletype and postage outlays are also included. This $3,025 for communications has been treated as a Search Cost.

The Search Costs also include a Supplies Component. The expenditures for supplies during 1974-75 that were incurred because of the Council's participation in regional interlibrary loan were estimated at $1,500.

The Council also incurs a number of other costs because of its regional interlibrary loan activities. During 1974-75, these expenditures included $4,000 for bibliographic materials, $175 reflecting the pro-rated, amortized portion of the cost of the OCLC terminal, and publicity and travel expenses amounting to $400. All of these amounts have been treated as Search Costs.

The final component included in the analysis of costs for the Capital District Council is Delivery Costs, since the Council -- in addition to providing member libraries with holdings information for requested items -- also provides the delivery service for materials lent among the member libraries and between any member library and the State Library. In 1974-75, the Council paid $22,000 under its contractual agreement with a private concern for regional interlibrary loan delivery service. This expenditure has been treated as a Fill Cost.

Exhibit V-3 presents the results of the analysis of regional interlibrary loan processing costs in the Capital District 3 R's Council. As indicated in the exhibit, the total dollar outlays by the Council in support of the processing of interlibrary loan requests within the region, and between the region and the State Library was $72,096, during 1974-75. Of this total, $50,096 has been costed as Search Costs and $22,000 has been costed as Fill Costs.

A high proportion of the regional interlibrary loan costs incurred by the Capital District Council are attributable to the maintenance of the Council's bibliographic resources, including its union catalog. In 1974-75, $34,346 (47.5 percent of the Council's total interlibrary loan-related costs) was incurred for this purpose, while $37,850 (52.5 percent) was incurred for regional interlibrary loan processing and delivery.

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

The interlibrary loan unit of the Southeastern New York Library Resources Council serves as a bibliographic center, borrowing agent and partial lending agent for regional interlibrary loan requests that are routed to the Council's staff for processing within the region. Requests

EXHIBIT V-3

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS
CAPITAL DISTRICT LIBRARY COUNCIL FOR REFERENCE AND RESEARCH RESOURCES
July 1974 - June 1975

Search Costs		$ 50,096
Labor Component		$ 40,996
Council Staff	$ 40,996	
Contract Payments	-0-	
Communications Component		3,025
Telephone, Postage, Teletype	3,025	
Supplies Component		1,500
Other Costs Component		4,575
Library materials	4,000	
OCLC Cost	175	
Publicity and Travel	$ 400	
Fill Costs		$ 22,000
Contract Payments Component		-0-
Delivery Costs Component		$ 22,000
TOTAL PROCESSING COSTS		$ 72,096

received at the Council's interlibrary loan unit are searched in the SUNY College at New Paltz catalogue by the Council's staff. If the requested item is available, it is retrieved or photocopied and processed as an interlibrary loan by Council personnel. 1/ If the requested item is unavailable, inquiries are made by the Council's staff to other member libraries in the region that may be able to lend the material, 2/ or the loan request is referred directly to the State Library. When a member library that will lend the requested item or provide a photocopy is identified, the request is referred by the Council's staff to that library for processing. If no library is able to lend the material or provide a photocopy, the request is either referred to the State Library or returned unfilled to the originating library. The Council also provides an interlibrary loan delivery service for its member libraries. The Council's interlibrary loan office serves as the delivery center for this service.

At the Council's interlibrary loan unit in the SUNY College at New Paltz library, two professional interlibrary loan staff and three part-time clerical staff spend most of their time receiving, searching, packaging materials for, making inquiries about, referring, and maintaining records on interlibrary loan requests routed to the Council by member libraries. In addition, a part-time clerk in the Vassar College library spends Council-paid time searching the catalogues and retrieving located materials from the shelves for regional interlibrary loan requests referred to this library by the Council. The staff time spent on interlibrary loan processing by these individuals during 1974-75 has been costed at $25,930, including fringe benefits at 25 percent of salary. In addition, the Council director estimated that 25 percent of her time should be allocated to the Council's interlibrary loan activities. This staff time and the associated fringe benefits cost $5,156 in 1974-75. These personnel expenditures have been treated as Search Costs in this analysis, in accordance with the definition presented earlier.

1/ The SUNY College at New Paltz is not reimbursed for its role as a resource library for regional interlibrary loan in the Southeastern Council. As indicated, all of the work involved in processing regional interlibrary loan requests in this library is undertaken by Council staff.

2/ Inquiries to the Vassar College library are searched--and located materials are retrieved--by a clerk whose salary is partially borne by the Council. Unlike the arrangement at the SUNY College at New Paltz library, however, the actual processing of regional interlibrary loans for the Council is performed by Vassar College Library personnel, not by Council staff.

None of the member libraries of the Southeastern Council receive payments from either the State or the Council to function as resource libraries for the region. Thus, the Labor Component of Search Costs is limited to the personnel expenditures described above.

The communications expenditures by the Council during 1974-75 that have been attributed to its regional interlibrary loan activities total $3,902. This amount represents outlays for telephone, postage and teletype, and has been treated as a Search Cost in this analysis.

The Search Costs also include a Supplies Component. The Council's expenditures for supplies during 1974-75 that were incurred because of the Council's participation in regional interlibrary loan were estimated at $2,138. This amount represents $1,127 expended on general supplies and $1,011 spent for the printing of the Council's regional interlibrary loan request form, which is an adaptation of the State Library's NYSILL form.

The Council also incurs a number of other costs because of its regional interlibrary loan activities. During 1974-75, these expenditures included $110 for library materials and $371 reflecting the amortized portion of the cost for an OCLC terminal used for request verification and locations information. Both of these amounts have been treated as Search Costs.

The final component included in the analysis of costs for the Southeastern Council is Delivery Costs. In 1974-75, the Council paid its two member public library systems a total of $7,407 in contract fees to provide pick-up and delivery of loaned and returned materials for the Council's member libraries. This expenditure has been treated as a Fill Cost.

Exhibit V-4 presents the results of the analysis of regional interlibrary loan processing costs in the Southeastern 3 R's Council. As indicated in the exhibit, the total dollar outlays by the Council in support of the processing of interlibrary loan requests within the region, and between the region and the State Library, were $45,014 during 1974-75. Of this total, $37,607 has been costed as Search Costs and $7,407 has been costed as Fill Costs.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

The headquarters of the Long Island Library Resources Council serves primarily as a borrowing agent for interlibrary loan requests that are routed to the Council's staff by member libraries for processing within the region. Requests received at the Council headquarters are

EXHIBIT V-4

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS
SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL
JULY 1974 - JUNE 1975

Search Costs		$ 37,607
Labor Component		$ 31,086
Council Director	$ 5,156	
Council Staff	25,930	
Communications Component		3,902
Telephone, Postage, Teletype	3,902	
Supplies Component		2,138
General Supplies	1,127	
Interlibrary Loan Forms	1,011	
Other Costs Component		481
Library Materials	110	
OCLC Cost	$ 371	
Fill Costs		$ 7,407
Contract Payments Component		-0-
Delivery Cost Component		$ 7,407
TOTAL PROCESSING COSTS		$ 45,014

searched in the microfilm copies of member library card catalogues that the Council has on file. If the requested item is located in the microfilm search, inquiries are made by the Council's staff to the member library or libraries that own the item to ascertain if it is available for loan. 1/ If the requested item is not found in the search of the microfilms of member library card catalogues, or if it proves to be unavailable for loan at the member library or libraries known to own the item, inquiries might be made of the member libraries in the region whose catalogues have not been microfilmed, or the loan request is referred to the State Library. When a member library that will lend the requested item or provide a photocopy is identified, the request is referred by the Council's staff to that library for processing. The Council provides an interlibrary loan delivery service for its member libraries. This service includes the packaging of materials being lent either enroute or at the Council's headquarters, which serves as a delivery center.

At the Council's headquarters in Bellport, one part-time professional, and one full-time and three part-time clerical staff (with occasional summer-time help) devote a portion or all of their time to receiving, searching, making inquiries about, referring, and maintaining records on loan requests routed to the Council by member libraries. The staff time spent on interlibrary loan processing by these individuals during 1974-75 has been costed at $25,233, including fringe benefits estimated at 23 percent of salary. In addition, the Council director estimated that 12.5 percent of his time should be allocated to the Council's interlibrary loan activities. This staff time and the associated fringe benefits cost $2,878 in 1974-75. These personnel expenditures have been treated as Search Costs in this analysis, in accordance with the definitions presented earlier.

1/ The Council's microfilming project, which was Federally funded, was completed in Summer, 1975. Since this cost analysis covers the period July, 1974 through June, 1975, the Council's staff processed regional interlibrary loan requests during much of this period without the benefit of the microfilm copies of member library catalogues. Prior to the availability of the microfilm, the staff had to base its inquiries to member libraries on educated guesses. The availability of the microfimed card catalogues has increased the accuracy and efficiency of the regional interlibrary loan processing provided by the Council.

None of the member libraries of the Long Island Council receive payments from either the State or the Council to function as resource libraries for the region. 1/ Thus, the Labor Component of Search Costs is limited to the personnel expenditures described above.

The communications expenditures by the Council during 1974-75 that have been attributed to its regional interlibrary loan processing activities total $4,553. This amount includes $3,674 for telephone, $293 for postage, $475 for teletype, and $110 for publicity and travel associated with the Council's interlibrary loan processing. All of these expenses have been treated as Search Costs in this analysis.

The Search Costs also include a Supplies Component. The Council's expenditures for supplies during 1974-75 that were incurred because of the Council's participation in regional interlibrary loan were estimated at $1,053.

The Council also incurs a number of other costs because of its regional interlibrary loan activities. During 1974-75, these expenditures included $212 for library materials and $7,523 reflecting the amortized cost of the use of the microfilmed card catalogues in locating requested material. 2/ Both of these amounts have been treated as Search Costs.

The final component included in the analysis of costs for the Long Island Council is Delivery Costs. In 1974-75, the Council employed two drivers on a part-time basis and leased a car for delivering loaned and returned materials for the member libraries. This required an expenditure of $11,590, of which $7,849 was salaries and fringe benefits, and $3,941 was automobile rental and operating expenses. These expenditures for delivery have been treated as Fill Costs.

1/ Member libraries are given a one dollar credit each time they lend in response to a Council referral. These credits can be used, up to a prescribed limit, to offset the Council's charge to the member libraries of two dollars each time the Council fills a member library request at another library in the region or at the State Library or NYSILL referral libraries.

2/ The filming of the member libraries' card catalogues cost $33,643. Based on an estimated five-year usable life, this represents an annual expenditures of $6,729. Equipment needed for storage and use of the microfilm cost $7,940. This was amortized on a ten year basis, resulting in an annual expenditure of $794. The remaining costs of the microfilming project totalled $920 for furniture, rent and moving expenses, all of which were considered overhead expenditures and therefore not included in this analysis.

Exhibit V-5 presents the results of the analysis of regional interlibrary loan processing costs in the Long Island 3 R's Council. As indicated in the exhibit, the total dollar outlays by the Council in support of the processing of interlibrary loan requests within the region and between the region and the State Library was $53,042 during 1974-75. Of this total, $41,452 has been costed as Search Costs and $11,590 has been costed as Fill Costs.

UNIT SEARCH AND FILL COSTS IN EACH 3 R'S REGION

The dollar outlays during 1974 or 1974-75 by the State Education Department and the 3 R's Council in each of the five regions under study in support of the processing of interlibrary loan requests within the region, and between the region and the State Library, can be converted to unit costs by relating total costs to measures of interlibrary loan processing activity. The material below presents average regional interlibrary loan processing costs in each Council in terms of a Unit Search Cost, a Unit Fill Cost, and the Total Unit Cost of a Council-Processed, Regionally-Filled Request. These unit costs are defined as follows:

- Unit Search Cost: The Search Costs divided by the total number of requests received and processed by the Council staff. 1/

- Unit Fill Cost: The Fill Costs divided by the number of requests received and processed by the Council staff that are filled within the region. 2/

- Total Unit Cost of a Council-Processed, Regionally-Filled Request: The Unit Search Cost plus the Unit Fill Cost.

Exhibit V-6 presents the average regional interlibrary loan processing costs that resulted from the application of these definitions to the cost data presented in the first part of this section. Insofar as possible, the volume statistics shown in Exhibit V-6 are for the same time period for which financial data were collected and reported.

1/ For the Rochester Council, Search Costs were divided by the total number of requests received and processed by the two contract regional resource libraries.

2/ Since the Capital District Council provides interlibrary loan delivery service for all requests filled within the region, including requests filled by the State Library, the Unit Fill Cost for this Council was obtained by dividing Fill Costs by the total number of member library requests that are filled by other member libraries and the State Library.

EXHIBIT V-5

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS
LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.
JULY 1974 - JUNE 1975

Search Costs		$ 41,452
Labor Component		28,111
Council Director	$ 2,878	
Council Staff	25,233	
Contract Payments	-0-	
Communications Component		4,553
Telephone, Postage, Teletype	4,443	
Publicity and Travel	110	
Supplies Component		1,053
Other Costs Component		7,735
Library Materials	212	
Microfilming Card Catalogues	$ 7,523	
Fill Costs		$ 11,590
Contract Payments Component		-0-
Delivery Cost Component		$ 11,590
TOTAL PROCESSING COSTS		$ 53,042

EXHIBIT V-6

AVERAGE REGIONAL INTERLIBRARY LOAN PROCESSING COSTS IN THE FIVE 3 R'S COUNCILS UNDER STUDY 1974 OR JULY 1974 - JUNE 1975

	Western	Rochester	Capital District	Southeastern	Long Island
Number of Council-Processed Requests 1/	21,977	32,919	16,849	23,567	11,156
Total Search Costs	$49,527	$42,448	$50,096	$37,607	$41,452
Number of Council-Processed Requests Filled Within Region 1/	15,075	23,681	36,120 2/	8,215	7,843
Total Fill Costs	$32,918	$56,038	$22,000	$ 7,407	$11,590
Unit Search Cost	$ 2.25	$ 1.29	$ 2.97	$ 1.60	$ 3.72
Unit Fill Cost	$ 2.18	$ 2.37	$ .61	$ .90	$ 1.48
Total Unit Cost of a Council-Processed, Regionally-Filled Request	$ 4.43	$ 3.66	$ 3.58	$ 2.50	$ 5.20

1/ Data supplied by 3 R's Council.

2/ Number of member library requests that were filled by other member libraries or the State Library during 12-month period. Data derived from member library questionnaires.

As shown in the exhibit, the average total cost of a Council-processed, regionally-filled request ranged from a low of $2.50 in the Southeastern region to a high of $5.20 in the Long Island region during the specified year. The cost for searching a request ranged from $1.29 to $3.72. When a regional interlibrary loan request is filled, the State Education Department and/or the 3 R's Council incur an additional cost for contract payments and/or delivery. This filling cost ranged from a low of $.61 in the Capital District region to a high of $2.37 in the Rochester region.

The average total cost of a Council-processed, regionally-filled request in each of the five regions under study consists of one or more of the following three types of expenditures: unit operating expenses incurred by the 3 R's Council to support the actual processing and filling of regional interlibrary loan requests; amortized unit capital expenses or unit annual operating outlays incurred by the 3 R's Council for the development and maintenance of central information on the monograph holdings of member libraries; and, unit operating expenses incurred by the State for the reimbursement of regional resource libraries. Exhibit V-7 identifies the extent to which each of these three types of expenditures is included in the total average interlibrary loan processing costs established for the five 3 R's Councils in this study.

EXHIBIT V-7

COMPONENTS OF THE UNIT COST OF A COUNCIL-PROCESSED, REGIONALLY-FILLED REQUEST IN THE FIVE 3 R'S COUNCILS UNDER STUDY
1974 or JULY 1974 - JUNE 1975

	Council's Operating Expenses for Processing	Council's Outlays for Monograph Holdings Information	State Reimbursements to Resource Libraries	Total Unit Cost
Western	$ 1.49	-0-	$ 2.94	$ 4.43
Rochester	1.19	-0-	2.38	3.66
Capital District	1.91	$ 1.67	-0-	3.58
Southeastern	2.50	-0-	-0-	2.50
Long Island	4.52	.68	-0-	5.20

PART FOUR

STUDY CONCLUSIONS AND RECOMMENDATIONS

SECTION I

SIGNIFICANT SIMILARITIES AND DIFFERENCES AMONG THE FIVE REGIONS UNDER STUDY

Parts One, Two and Three have presented the results of the comparative study of regional interlibrary loan in the Western, Rochester, Capital District, Southeastern and Long Island 3 R's regions in terms of the factors affecting regional interlibrary loan in each of these regions; the extent and nature of regional interlibrary loan in each region; and, the effectiveness of regional interlibrary loan as measured by fill rates, the characteristics of unfilled requests, the elapsed time required to fill requests, patron satisfaction, and processing costs in these five 3 R's regions. This Part of the report deals with the overall conclusions and recommendations resulting from the comparative study. It begins with this examination of the significant similarities and differences in the contents of Parts One, Two and Three for the five regions under study.

REGIONAL CHARACTERISTICS

Exhibit I-1 summarizes the data on regional characteristics affecting interlibrary loan that were presented in Part One for each of the five regions under study. Although the non-funded regions have total populations and research populations that are comparable to or greater than the total populations and research populations in the funded regions, the non-funded regions are relatively more deficient in library resources. This is evidenced in several ways. First of all, none of the non-funded regions have a public library of significant size when compared to the largest public library in the funded regions. Secondly, the funded regions have much more outstanding academic library resources when measured in terms of the largest academic library collection. Only two of the non-funded regions under study have an academic library with a collection in excess of half a million volumes, whereas both of the funded regions have an academic library with a collection well in excess of one million volumes. Finally, the Southeastern and Long Island regions have much lower ratios for the number of serials and book stock per capita, and for the number of monographs per researcher, than do the other three regions, which exhibit more comparable ratios for these interlibrary loan resources/demand indicators.

ROLE OF THE 3 R'S COUNCILS IN REGIONAL INTERLIBRARY LOAN PROCESSING

There are significant similarities and differences in the functions that the five 3 R's Councils have elected to perform to facilitate interlibrary loan within their regions. These are reviewed below from the material presented in Section II of Part One.

EXHIBIT I-1

COMPILATION OF REGIONAL CHARACTERISTICS IN THE FIVE 3 R'S REGIONS UNDER STUDY

	WESTERN	ROCHESTER	CAPITAL DISTRICT	SOUTHEASTERN	LONG ISLAND
Land Area (square miles)	4,886	3,168	7,204	5,472	1,218
Total Population	1,674,208	961,899	962,021	1,009,026	2,553,081
Research Population	148,180	106,866	100,744	102,353	265,024
Percent Urban	62.0%	42.6%	49.8%	39.9%	94.7%
Number of Public Libraries	75	59	66	105	103
Total Public Library Volumes	4,253,658	1,947,367	1,921,122	1,788,082	6,993,749
Size of Largest Public Library Collection	1,934,817	795,933	286,482	96,559	304,771
Number of Academic Libraries	24	12	22	19	17
Total Academic Library Volumes	3,351,938	2,646,438	2,335,861	1,829,715	2,725,032
Size of Largest Academic Library Collection	1,509,349	1,294,471	725,000	439,520	756,356
Number of Special Libraries	34	40	48	29	51
Total Special Library Volumes	633,428	525,404	663,143	377,094	615,306
Book Stock and Serials/Capita	4.98	5.38	5.23	4.04	4.15
Monographs/Researcher	55.6	47.9	48.8	39.0	39.0

One of the 3 R's Councils (Rochester) is itself not directly involved in interlibrary loan processing. The Council's staff makes and oversees the administrative and other arrangements for regional interlibrary loan processing under Council auspices. The actual operation of the 3 R's interlibrary loan program in this region is carried out by the two contract regional resource libraries and by the Council's member libraries. The Council's staff does not operate a bibliographic center, does not perform borrowing agent activities for the member libraries, and does not carry out lending agent activities to facilitate regional interlibrary loan. If effect, this Council has eliminated itself as the "middleman" in regional interlibrary loan processing. Borrowing libraries deal directly with the region's two principal lending libraries.

All of the other four 3 R's Councils are directly involved in interlibrary loan processing within their regions, but the extent and nature of this involvement varies from region to region. The staffs of three of these Councils (Western, Capital District and Southeastern) provide bibliographic center services to their member libraries to facilitate regional interlibrary loan processing. These services include verification of regional interlibrary loan requests referred by the member libraries to the Councils' interlibrary loan centers, and/or the provision of holdings information to member libraries. (This information identifies libraries within the region, if any, that own the requested item, or--should it not be held within the region--libraries outside the region that the Council's staff has been able to ascertain own the requested item.) These bibliographic center services, and the transmission of requests to the State Library for most member libraries, are the regional interlibrary loan services provided by one of the three Councils (Capital District). The member libraries of this Council perform all the activities of borrowing and lending for themselves, using the Council when necessary as a source of holdings information, to verify requests, and to transmit referrals to the State Library for filling or processing in the NYSILL network.

The staffs of the Western, Southeastern and Long Island Councils perform borrowing agent activities for their member libraries. These activities include making inquiries by telephone, teletype, mail or delivery system of known or suspected holders of the requested item to ascertain their willingness to lend or photocopy the desired material, and arranging the loan transaction when a lending institution has been identified.

The staff of the Southeastern Council carries out a third interlibrary loan service in that they perform lending agent activities as well. This is the only Council of the five studied that acts in one way or another in the capacity of the lender to facilitate regional interlibrary loan. The lending agent activities performed by this Council's staff include retrieving items from shelves in the lending institution or making photocopies of requested material, and/or actually processing the loan transaction or packaging material for interlibrary loan delivery.

In summary, the role of each of the five 3 R's Councils in regional interlibrary loan processing can be characterized as follows:

Western:	is a bibliographic center and borrowing agent;
Rochester:	is none of these; it makes and oversees the administrative arrangements for regional interlibrary loan processing under Council auspices;
Capital District:	is a bibliographic center;
Southeastern:	is a bibliographic center, borrowing agent and lending agent;
Long Island:	is a borrowing agent. [1]

In carrying out these roles, all of the 3 R's Councils have issued union lists of serials to facilitate direct member-to-member borrowing to fill serial requests; two of the Councils (Western and Rochester) rely heavily on regional resource libraries that service member library interlibrary loan requests under contract; two of the Councils (Capital District and Long Island) have chosen to invest in the development and maintenance of central information on member libraries' monograph holdings to facilitate the searching for potential lending institutions to fill requests for monograph materials; and one of the Councils (Southeastern) has chosen to utilize a regional interlibrary loan processing approach that combines in-library searching by Council staff of two academic library collections in the region with hit-or-miss referrals to the region's other member libraries to locate requested materials.

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[1] On occasion, the Long Island 3 R's processing center also acts as a bibliographic center, providing verification and holdings information, and as a lending agent, packaging materials prior to delivery. According to the 3 R's Council's Director and loan processing staff, these activities are the exception rather than the rule, and as such should be considered peripheral.

REGIONAL INTERLIBRARY LOAN FUNDING

Both the Western and Rochester 3 R's regions include member libraries that are reimbursed by the State for serving as regional resource libraries for the interlibrary loan programs in these regions. Because of this, the Western and Rochester regions are referred to as the "funded" regions in this study. None of the member libraries in the Capital District, Southeastern or Long Island regions are reimbursed by the State for their participation in the interlibrary loan programs in these regions. These three regions are referred to as the "non-funded" regions in this study. The State's reimbursement of regional resource libraries in the Western and Rochester regions has the effect of subsidizing the 3 R's Councils' budgets in these two regions by significantly reducing the proportion of funds that must be spent by the Councils to support their regional interlibrary loan programs. The Western and Rochester Councils allocate approximately 36 percent of their annual budgets to interlibrary loan activities, whereas the Capital District, Southeastern and Long Island Councils allocate approximately 50 percent of their annual budgets for this purpose.

One of the five 3 R's Councils (Long Island) has instituted a fee structure for the regional interlibrary loan services the Council provides its member libraries. This fee structure acts as a deterent to the use of the 3 R's Council's interlibrary loan processing services, and encourages the member libraries in the region to borrow directly from other libraries in and outside the region, including the State Library.

VOLUME AND PATTERNS OF REGIONAL INTERLIBRARY LOAN

Exhibit I-2 summarizes the data on the volume and patterns of regional interlibrary loan activity that were presented in Section I of Part Two for each of the 3 R's regions under study. The total volume of interlibrary loan requests generated in 1974 by member libraries in the five study regions ranged from nearly 38,200 requests in the Southeastern region to approximately 58,000 requests in the Capital District region.1/

1/ These numbers are somewhat higher than the totals shown in Exhibit I-2 because some member libraries reported the volume of interlibrary loan requests they generated but failed to allocate this volume by referral option. Data from these libraries is not included in the exhibit.

EXHIBIT I-2

ANNUAL VOLUME OF INTERLIBRARY LOAN REQUESTS GENERATED AND REFERRAL OPTIONS UTILIZED BY MEMBER LIBRARIES IN THE FIVE 3 R'S REGIONS UNDER STUDY

	Total Activity			3 R's Council Resource Libraries 1/			State Library/NYSILL System			Direct Within Region			Direct Outside Region		
	# Libraries	Requests	Percent	# Libraries	Requests	Percent	# Libraries	Requests	Percent	# Libraries	Requests	Percent	# Libraries	Request	Percent
Public Library Systems															
Western	3	8,305	15.8	3	6,020	72.5	3	1,236	14.9	0	0	--	2	1,049	12.6
Rochester	1	3,289	7.3	1	3,223	98.0	1	33	1.0	0	0	--	1	33	1.0
Capital District	2	10,186	18.2	2	3,678	36.1	2	6,050	59.4	2	431	4.2	2	27	0.3
Southeastern	1	17,472	46.0	1	9,606	55.0	1	7,866	45.0	0	0	--	0	0	1.0
Long Island	2	21,209	48.9	2	1,937	9.1	2	17,057	80.4	2	2,010	9.5	2	205	0.1
Academic Libraries															
Western	17	24,468	46.7	15	11,027	45.1	4	4,193	17.1	6	736	3.0	10	8,512	34.8
Rochester	10	14,627	32.2	10	7,502	51.3	2	674	4.6	9	3,048	20.8	9	3,415	23.3
Capital District	16	30,937	55.3	16	7,740	25.0	12	9,554	30.9	15	9,824	31.8	11	3,819	12.3
Southeastern	17	13,683	36.0	17	6,984	50.9	1	4	0.0	15	3,730	27.3	10	2,965	21.7
Long Island	12	16,757	38.7	10	5,027	30.0	3	6,644	39.6	7	1,888	11.3	7	3,198	19.1
Special Libraries															
Western	20	19,624	37.5	20	4,479	22.8	2	1,092	5.6	16	12,453	63.5	14	1,600	8.1
Rochester	22	27,440	60.5	21	21,343	77.8	2	8	0.0	16	3,233	11.8	13	2,846	10.4
Capital District	14	14,805	26.5	10	3,675	24.8	9	2,595	17.5	14	5,667	38.3	11	2,868	19.4
Southeastern	16	6,845	18.0	14	2,083	30.4	4	215	3.1	15	821	12.0	12	3,726	54.4
Long Island	15	5,366	12.4	13	1,803	33.6	4	786	14.6	12	824	15.4	11	1,953	36.4
Total															
Western	40	52,397	100.0	38	21,526	41.1	9	6,521	12.4	22	13,189	25.2	26	11,161	21.3
Rochester	33	45,358	100.0	32	32,068	70.7	5	715	1.6	25	6,281	13.8	23	6,294	13.9
Capital District	32	55,928	100.0	28	15,093	27.0	23	18,199	32.5	31	15,922	28.5	24	6,714	12.0
Southeastern	34	38,000	100.0	32	18,673	49.1	6	8,085	21.3	30	4,551	12.0	22	6,691	17.6
Long Island	29	43,332	100.0	25	8,767	20.2	9	24,487	56.5	21	4,722	10.9	20	5,356	12.4

1/ And not referred to the State Library.

The proportions of total regional interlibrary loan volume originating at academic libraries in the five regions are more comparable than the proportions originating at public library systems or special libraries. A much higher proportion of total regional interlibrary loan volume in the two funded regions originates at special libraries than is the case in the non-funded regions. In the non-funded regions, the public library systems generate a much higher proportion of the total regional interlibrary loan activity than do the public library systems in the funded regions.

The majority of member libraries in all five regions sometimes utilize the services of their 3 R's Council or designated regional resource libraries for processing interlibrary loan requests, or to obtain holdings information on requested materials. But the five 3 R's regions differ in the relative volume of requests which member libraries refer according to the various referral options -- direct within the region, to the State Library, direct outside the region, and to the 3 R's Council or designated resource libraries (but not subsequently to the State Library). Member libraries in the two funded regions and in the Southeastern region make the greatest relative use of their 3 R's Council and refer proportionately fewer requests to the State Library. Capital District member libraries borrow primarily from each other -- using the holdings information supplied by the 3 R's Council -- and from the State Library, although they now must refer requests to the State Library through the 3 R's Council headquarters. A majority of member library requests in the Long Island region are referred directly to the State Library.

The public library systems in the funded regions direct the majority of their requests to the 3 R's Council or regional resource libraries for processing, while the public library systems in the non-funded regions refer lower proportions of their requests to their 3 R's Councils and higher proportions to the State Library. Relatively few public library system requests in either the funded or the non-funded regions are referred directly to another library, either within or outside the region.

Academic libraries in the funded regions and the Southeastern region tend to refer greater proportions of their requests to the 3 R's Council or regional resource libraries than do the academic libraries in the other two non-funded regions. The latter refer greater proportions of their requests to the State Library. Finally, academic libraries in the funded regions are more likely to refer requests directly outside the 3 R's region for filling than they are to refer requests directly to other libraries within the region. The reverse is true for academic libraries in the non-funded regions.

Special libraries in the non-funded regions tend to refer greater proportions of their requests to the State Library and to libraries outside of the 3 R's region than do special libraries in the funded regions. Special libraries in the Western region refer a high proportion of their requests to libraries within the region, while the special libraries in the Rochester region refer a high proportion of their requests to the designated regional resource libraries. A large percentage of the special library interlibrary loan activity in the Western region is from health-oriented libraries that refer requests primarily to each other and to the SUNY at Buffalo libraries to access the Regional Medical Library Network.

CHARACTERISTICS OF REGIONAL INTERLIBRARY LOAN REQUESTS

In all five regions, faculty and student patrons tend to originate requests in academic libraries, business and professional patrons use primarily special libraries, and "other" patrons originate requests at public libraries. In all five regions, business and professional patrons submit primarily serial requests, and "other" patrons submit primarily monograph requests. In all regions except Long Island, faculty members submit primarily serial requests. In the Western, Capital District and Southeastern regions, students submit primarily serial requests, whereas, in the Rochester and Long Island regions, students submit requests primarily for monograph materials.

Large percentages of the interlibrary loan users in the two funded regions are special library patrons. This is particularly true in the Rochester region, where special libraries account for the majority of regional interlibrary loan requests. In the Western region, academic library patrons are generating only a slightly larger volume of requests than are special library patrons. In the non-funded regions, much larger percentages of the total regional interlibrary loan activity are generated by academic and public library patrons than in the funded regions. In the Capital District, academic library patrons account for twice the volume of requests submitted by public and special library patrons. In both the Southeastern and Long Island regions, public library patrons account for the largest single percentage of total regional interlibrary loan activity.

Exhibit I-3 shows the subject matter of interlibrary loan requests generated by the member libraries in the five 3 R's regions under study. Materials in the "professional literature" are frequently requested in all five regions. Patrons in the funded regions also tend to request materials from the physical and biological sciences, while patrons in the non-funded regions tend to also request materials from the social sciences and humanities. Patrons in the non-funded regions submit requests for popular fiction and non-fiction to a much greater extent than do patrons in the funded regions.

EXHIBIT I-3

SUBJECT MATTER OF INTERLIBRARY LOAN REQUESTS IN THE FIVE 3 R'S REGIONS UNDER STUDY

3 R'S REGIONS	Physical Science	Biological Science	Social Science	Humanities	History	Professional Literature[1]	Popular Fiction	Popular Non-Fiction	No Information
Western	9%	16%	8%	14%	5%	42%	1%	2%	3%
Rochester	15%	11%	10%	7%	3%	51%	-	2%	1%
Capital District	8%	6%	17%	9%	6%	42%	2%	7%	2%
Southeastern	6%	10%	8%	12%	10%	24%	11%	10%	9%
Long Island	10%	8%	14%	17%	8%	29%	6%	6%	2%

1/ "Professional Literature" includes materials in business, engineering, education, law, social work communications and medicine.

REGIONAL INTERLIBRARY LOAN FILL RATES

Exhibit I-4 summarizes the data on regional interlibrary loan fill rates that was presented in Section I of Part Three for the five 3 R's regions under study.

The funded regions have the highest overall fill rates, and the highest fill rates for requests referred to the 3 R's Council or its designated regional resource libraries. In all five regions, large percentages of the requests originating at academic and special libraries are filled. Requests which are generated in the public library systems have a greater tendency to go unfilled in all five regions, but particularly so in the non-funded regions. Serials requests have higher fill rates than do monograph requests, especially in the non-funded regions. Business/professional patrons experience high fill rates in all five regions, whereas "other" patrons are consistently the least successful in having their requests filled.

In all of the 3 R's regions studied, requests which are referred exclusively within the region evidence higher fill rates than requests which at some point in processing are referred outside the region. This fill rate differential is much more pronounced in the non-funded regions that it is in the funded regions.

CHARACTERISTICS OF UNFILLED REQUESTS

In one of the funded regions (Rochester), unfilled requests are more likely to be serial requests, and to have been submitted by business/professional, faculty and student patrons. In the other funded region (Western), and in the three non-funded regions, unfilled requests are more likely to be monograph requests, and to have been submitted by "other" patrons and faculty members.

In all five 3 R's regions, the reason most often cited for a request not being filled was that it was not held by the referral library (NIL). This reason accounts for a majority of all unfilled requests in the three non-funded regions and in the Rochester region. In the Western 3 R's region, high percentages of unfilled requests are not on the shelf in the referral library (NOS), and are for materials which the referral library will not send (WNS).

TIME REQUIRED TO FILL REGIONAL INTERLIBRARY LOAN REQUESTS

Requests in the funded regions are not filled in a shorter period of time than requests in the non-funded regions. In two of the non-funded regions, member libraries experience faster overall regional interlibrary loan than do member libraries in either of the funded regions. In the funded regions, requests which are processed by the 3 R's Council or its

EXHIBIT I-4

FILL RATES BY REFERRAL OPTION, TYPE OF ORIGINATING LIBRARY, NATURE OF MATERIAL REQUESTED AND PATRON STATUS IN THE FIVE 3 R'S REGIONS UNDER STUDY

		REFERRAL OPTION			TYPE OF ORIGINATING LIBRARY		
	OVERALL	REFERRAL TO 3 R'S	REFERRAL TO STATE LIBRARY/NYSILL	REFERRAL TO OTHER LOCATIONS	PUBLIC	ACADEMIC	SPECIAL
Western	90.5%	91%	78%	92%	83%	90%	94%
Rochester	90.9	97	77	87	82	87	94
Capital District	87.3	79	85	98	65	92	97
Southeastern	73.0	74	61	92	59	85	83
Long Island	70.4	81	55	83	55	74	100

	NATURE OF MATERIAL REQUESTED				PATRON STATUS			
	MONOGRAPH	SERIAL	THESIS	OTHER	FACULTY	STUDENTS	BUSINESS/ PROFESSIONAL	"OTHER" PATRONS
Western	83%	96%	60%	84%	88%	94	94%	78%
Rochester	87	93	50	0	87	87	94	83
Capital District	80	96	0	73	90	92	96	64
Southeastern	64	88	67	0	90	75	85	61
Long Island	57	91	100	0	77	66	100	55

designated resource libraries are filled in a shorter period of time than are requests which are referred directly to another library or to the State Library. In the non-funded regions, faster fill times are associated with the referral of requests directly to another library or to the State Library than with the referral of requests to the 3 R's Council for processing.

In all but the Western region, monograph requests require a longer period of time to fill than do serial requests, and faculty and "other" patron requests require a longer period of time to fill than do business/professional or student patron requests.

In the funded regions, requests are more likely to be filled on the first referral than they are in the non-funded regions. Requests in the funded regions which are not filled on the first referral take longer to fill than requests in the non-funded regions which are not filled on the first referral.

PATRON SATISFACTION

In all regions, the majority of patrons interviewed expressed satisfaction with the interlibrary loan services they received. In the Western, Rochester and Southeastern regions, very few of the interviewees encountered any difficulties in borrowing through interlibrary loan. The few difficulties experienced were usually due to the slowness of service or the fact that the item requested was of an esoteric nature and difficult to fill. In the Capital District and Long Island regions, approximately half of the patrons interviewed had encountered difficulties in utilizing interlibrary loan. These difficulties included the time required to fill requests, poor photocopies, requested materials being at the bindery, failure to be notified of processing delays, and the unavailability of more recently published material.

REGIONAL INTERLIBRARY LOAN PROCESSING COSTS

The funded regions have neither the lowest nor the highest average unit cost of a Council-processed, regionally-filled request. These regions have somewhat lower unit search costs and somewhat higher unit fill costs than do the non-funded regions, so that the total unit costs in the funded and the non-funded regions intermingle. The average unit cost of a Council-processed, regionally-filled rquest ranged from $2.50 in the Southeastern 3 R's region to $5.20 in the Long Island 3 R's region. This cost in the two funded regions was $4.43 and $3.66 (Western and Rochester, respectively). The average unit cost of a Council-processed, regionally-filled request in the Capital District 3 R's region was $3.58.

SECTION II

IMPACT ASSESSMENTS

The preceding section discussed the significant similarities and differences among the five 3 R's regions in the findings of this comparative study of regional interlibrary loan, with particular emphasis on the similarities and differences in the measures of effectiveness of interlibrary loan processing in the two funded and the three non-funded regions. This section provides those responsible for regional interlibrary loan in New York State a basis for future planning and decision-making by establishing the extent to which the observed similarities and differences in the measures of effectiveness of regional interlibrary loan are attributable to observed similarities and differences in the regions themselves, in their approaches to regional interlibrary loan processing, and/or in the funding of regional interlibrary loan.

The data used for the assessment of impacts were both quantitative and qualitative, and were taken or derived from the information presented in Parts One, Two and Three of this document. The methodology for the impact assessments varied depending on the type of information available for each assessment. Where quantitative data were available, one of two statistical tests were performed: (1) a rank order correlation across all five regions; or, (2) a confidence test of significant similarities and differences between the outcomes for the funded regions and the outcomes for the non-funded regions. Where only qualitative data were available, judgments were made on the basis of insights resulting from the investigations of regional interlibrary loan in the five regions under study.

Similarities and differences in the measures of regional interlibrary loan effectiveness in the five regions that are not discussed in this section were found or judged not to be reliably significant. Those similarities and differences may simply be due to chance, and should not be used as a basis for regional interlibrary loan planning or decision-making

IMPACTS OF REGIONAL CHARACTERISTICS, AND OF THE EXTENT AND NATURE OF REGIONAL INTERLIBRARY LOAN

The incidence of monograph and serial requests in regional interlibrary loan among the five regions under study correlates with certain demographic and library resource factors in the regions. In particular:

- Differences in the proportions of serial requests to total requests are significantly related to differences in the numbers of serials per researcher. Regions having higher numbers of serials per researcher evidence lower proportions of serial requests to total requests. 1/

- Differences in the proportions of monograph requests to total requests are significantly related to differences in the size of the largest single public library collection. Regions having larger single public library collections evidence lower proportions of monograph requests to total requests.

- Differences in the proportions of monograph requests to total requests are also significantly related to differences in the number of individual public libraries in the public library system(s) in the region. Regions having greater numbers of individual public libraries evidence higher proportions of monograph requests to total requests.

Fill rates within each region are principally related to the type of material requested (i.e. either monograph or serial), rather than to patron status or type of originating library. The differences in the fill rates across the five regions are significantly related to differences in the proportions of monograph and serial requests represented in the total interlibrary loan activity in each region. Specifically:

- Fill rates for serial requests in all regions are uniformly high, regardless of the proportion of serial requests to total requests within the region.

- Fill rates for monograph requests vary among the five regions inversely with the proportion of monograph requests to total requests in each region. Regions with higher proportions of monograph requests being referred within the region evidence lower fill rates for these requests than do regions with proportionately fewer monograph requests being referred.

- Since serial fill rates are generally the same across the five regions, and monograph fill rates vary according to the proportion of monograph requests in each region, overall fill rates across the five regions also vary inversely with the proportion of monograph requests to total requests. Regions with higher proportions of monograph requests have lower overall fill rates.

1/ The measure of serials per researcher used in establishing this impact was total serials owned by libraries in the region divided by college students plus professional, technical and kindred workers.

The elapsed times required to fill requests in each region are also principally related to the type of material requested rather than to patron status or type of originating library. The differences in the elapsed times for serial requests across the five regions are significantly related to regional differences in the proportion of serial requests to total requests. This is not true for the elapsed times for monograph requests, however, as is indicated below:

- In general, the elapsed times required to fill serial requests are lower than those for monograph requests.

- Elapsed times for serial requests vary among the five regions directly with the proportion of serial requests to total requests in each region. Regions with higher proportions of serial requests being referred within the region evidence longer elapsed times to fill serial requests.

- Elapsed times for monograph requests do not vary among the five regions with the proportion of monograph requests to total requests in each region.

Differences across the five regions in the incidence of extra-regional borrowing from the State Library and NYSILL are significantly related to regional differences in the proportion of public library and monograph requests to total requests. Regions with higher proportions of public library originated and monograph requests being generated within the region refer a higher percentage of their requests to the State Library, and a correspondingly lower percentage to the 3 R's Council. These patterns, in turn, impact upon fill rates and elapsed times, as demonstrated by the following:

- Fill rates for requests referred to the State Library vary among the five regions inversely with the proportion of requests which are referred to the State Library in each region. Regions which refer higher proportions of requests to the State Library experience lower State Library fill rates.

- Elapsed times for requests referred to the State Library also vary among the five regions according to the proportion of requests which are referred to the State Library, but in the opposite direction. Regions which refer higher proportions of requests to the State Library evidence shorter State Library elapsed times (but, as indicated above, lower fill rates).

Finally, there is a direct relationship between differences in the size and concentration of each region's reference and research resources and differences in the fill rates for requests referred to the 3 R's Council. When the total size of the combined collections of the biggest academic library and the biggest public library is large, the fill rates for requests referred to the 3 R's Council or its designated resource libraries are higher. Differences across the five regions in the elapsed times for requests referred to the 3 R's Councils or the designated resources libraries are significantly related to differences in the proportion of requests referred to the Councils or resource libraries. Regions in which higher proportions of the total regional interlibrary loan activity is referred to the 3 R's Council or the designated resource libraries have longer elapsed times for filled requests than do the regions in which proportionately fewer requests are referred according to this referral option.

The impacts identified in the preceding paragraphs have a number of implications. First of all, it is evident that the five regions under study have more equal capability for satisfying serial requests than they have for satisfying monograph requests. The regions' capabilities for filling monograph requests for patrons within the region, especially "other" patrons using public libraries, are disparate. Regions which lack adequate capabilities for satisfying public library originated monograph requests refer these requests in large numbers to the State Library, which fills them promptly when they can be filled, but which is frequently unable or unwilling -- as a matter of policy -- to fill them. Presumably, these requests would be more appropriately referred to a strong public library monograph collection in another region than to the State Library.

The fact that the five regions can more equally service serial requests, but differ considerably in their ability to service monograph requests, suggests that regional interlibrary loan planning should give priority attention to providing access to significant monograph resources outside the region for those regions lacking a single strong public library monograph collection.

It is also evident from the impacts identified above that the 3 R's Councils are more effective in linking regional interlibrary loan demand -- especially the demand for monograph materials -- with regional interlibrary loan supply -- especially the supply of monograph materials -- when that supply is concentrated in a few major collections. Regions lacking this concentration of supply in one or two regional resources libraries are very dependent on the ability of the 3 R's Councils to search and locate requested monograph items.

Although the 3 R's Councils are more effective in filling requests when the supply of regional library resources is concentrated in a few major collections, this concentration of supply generally results in longer elapsed times for filling requests -- especially serial requests -- through the 3 R's Council. Regions possessing a concentration of supply in one or two regional resource libraries are very dependent on the ability of the 3 R's Council and/or the resource libraries to process and complete requests for serial materials in a timely fashion.

IMPACTS OF REGIONAL INTERLIBRARY LOAN PROCESSING, AND OF THE FUNDING OF REGIONAL INTERLIBRARY LOAN

The manner in which regional interlibrary loan is processed determines the pattern of interlibrary loan borrowing within each region. The proportion of requests referred to the 3 R's Council is influenced by the ability of the member libraries to tap regional resources, or holdings information on those resources, through the functioning of the 3 R's Council's interlibrary loan program; the efficiency of the 3 R's Council's interlibrary loan staff in processing requests; and the borrowing alternatives available to member libraries. The Division of Library Development, in consultation with the 3 R's Councils, authorizes the number of State Library transmission sites which operate in each region. This also influences the pattern of request referrals in each region, as well as the volume and nature of requests which are referred directly by member libraries to the State Library for filling or processing in the NYSILL network.

The manner in which regional interlibrary loans are processed in each region impacts upon fill rates for requests referred to the 3 R's Council. Regions in which the processing of interlibrary loan requests is based primarily on access to strong resource libraries within the region -- namely, the Western and Rochester regions -- have the highest regional interlibrary loan fill rates for requests referred to the 3 R's Council or its designated resource libraries. Regions in which the 3 R's Councils utilize central information on the monograph holdings of the member libraries in the region -- namely, the Capital District and Long Island regions -- have the next highest fill rates for requests referred to the 3 R's Council. The region in which the 3 R's Council has neither of these alternatives at its disposal at the present time -- namely, the Southeastern region -- has the lowest fill rate for requests referred to the 3 R's Council for processing in the region.

Each Council's interlibrary loan processing policies and procedures also influence fill rates for referrals to the State Library. Regions with strong regional resources can more effectively limit direct access to the State Library, so that fewer and more thoroughly screened items are referred to the State Library. This results in higher State Library fill rates. Regions lacking strong regional resource libraries can less effectively limit direct access to the State Library, so that more and less thoroughly screened items are referred to the State Library. This results in generally lower State Library fill rates. (Proximity to the State Library positively affects fill rates, as demonstrated by the high proportion of member library requests referred to the State Library from the Capital District region that are filled. Presumably, this proximity increases librarians' knowledge of the State Library's collection.)

The manner in which regional interlibrary loan is processed in each region impacts upon the elapsed time required to fill requests under the various referral options. Regions in which the processing of interlibrary loan requests is based primarily on access to strong resource libraries within the region are able to fill requests referred to the 3 R's Council in less time than requests which are referred in some other pattern. In these regions, requests which are referred directly to other libraries, given the strengths of the regional collections, are generally referred outside the region, and take longer to fill than requests referred to the 3 R's Council or the resource libraries. Finally, in these regions, requests are referred to the State Library only as a last resort, so that the total average elapsed time for requests filled by the State Library is longer than for any other referral option.

In regions where direct borrowing of other regional member libraries is common, bypassing the 3 R's Council, familiarity with local collections and the absence of a concentration of referrals at one or two resource libraries results in shorter fill times for the direct-borrow option than is experienced in regions where direct borrowing from other member libraries is more infrequent. Similarly, regions which engage in a high volume of direct borrowing from the State Library experience shorter fill times for the State Library referral option than regions which significantly screen referrals to the State Library. In the former regions, a higher proportion of requests filled through the State Library referral option are filled by the State Library itself, rather than by the NYSILL referral libraries, further reducing the time required to fill requests referred under this option.

The support of regional resource libraries by direct State funding has an impact upon regional interlibrary loan effectiveness. These funds make the strongest resource collections in each region available to patrons within the region through the regional interlibrary loan program. Because these resources are easily and quickly accessible, both fill rates and fill times are influenced positively. Indirectly, this availability influences the overall regional pattern of loan borrowing by resulting in a greater proportion of regional requests being referred to the 3 R's Council for processing

A different type of interlibrary loan funding is observed in the Long Island region. Here, the fee structure imposed by the 3 R's Council to offset the cost of processing acts to inhibit member libraries from using the processing services of the Council. This factor, in combination with individual member libraries' own restrictive lending policies, and the fact that major libraries within this region have direct teletype access to the State Library, impacts upon regional patterns of interlibrary loan. A much larger proportion of requests are referred to the State Library because there is no charge, and because response time is faster than that provided by the 3 R's Council. Fill rates are lower for requests forwarded to the State Library than those referred to the Council, but the local fee structure overrides considerations of the greater effectiveness of Council processing and results in a high volume of referrals which totally bypass the 3 R's Council.

The unit operating costs incurred by the five 3 R's Councils in support of regional interlibrary loan processing generally reflect the scope of interlibrary loan services being provided by each Council to its member libraries. Those Councils that provide the broadest range of interlibrary loan processing services incur higher unit operating costs than those that provide a narrower range of direct services. The exception to this general pattern is the Long Island region. The very high unit operating cost reported for the Long Island 3 R's Council reflects the low volume of requests processed by that Council during 1974/75. Had it not been for this low volume, this Council's unit operating cost would most likely have been in the mid-to-high range of unit operating costs reported for the five Councils under study.

Amortized capital investments by the 3 R's Councils to initiate or maintain some type of central file of member library monograph holdings naturally increase total unit processing costs in the two regions that utilize such devices. Contract reimbursements by the State to regional resource libraries also increase total unit processing costs in the two regions whose member libraries are under contract. These reimbursements actually subsidize the budgets of the two 3 R's Councils by meeting a substantial portion of the total expense of regional interlibrary loan processing in these regions.

SECTION III

RECOMMENDATIONS

The objective of regional interlibrary loan processing is the utilization of regional reference and research resources to meet regional demand for reference and research materials. Given a particular regional supply/demand profile, the task confronting the 3 R's Council is to develop regional interlibrary loan policies and procedures, and to allocate available funding, to effectively match regional demand, in the form of interlibrary loan requests, to regional supply in the form of member libraries able and willing to fill the requests.

It is evident that regional characteristics, regional interlibrary loan processing, and regional interlibrary loan funding all impact on the measures of effectiveness of regional interlibrary loan. It is difficult to isolate the specific chains of impact, however, because these three variables -- regional resources, processing methodology, and funding -- are themselves highly interdependent. The regions that are funded are the regions that had strong library resources relative to interlibrary loan demand at the time of funding (i.e., 1968). Moreover, the regional interlibrary loan processes in these regions which positively impact upon the measures of effectiveness were able to be instituted only because the regions were funded.

The funded regions have been able to achieve higher regional interlibrary loan fill rates for two reasons: they started from a stronger supply/demand position than did the non-funded regions; and, with funding, they have developed regional interlibrary loan procedures that maximize their advantage in resources. Since the reference and research resources utilized to meet regional interlibrary loan demand in the funded regions are relatively concentrated in two institutions per region -- such that searching for potential lending libraries is less a problem than handling the flow of requests -- and since the libraries possessing the resources to meet much of the regional demand are reimbursed for the use of their collections -- such that the 3 R's Councils do not have to be concerned about referring too many requests to any particular lending institution -- the funded regions have been able to institute interlibrary loan procedures which are designed to simply process requests, rather than to search for and spread requests among a large number of potential lending libraries.

The non-funded regions are faced with a different set of requirements, since their member libraries lack unrestricted access to the collections in the regions that are best able to service the regional interlibrary loan demand, and since the number of such collections is greater than in the funded regions because of the absence of very large public and academic library collections. These regions have had to rely on "search-and-spread" procedures as the primary basis for processing regional interlibrary loan requests. The fact that these regions evidence less effectiveness than the funded regions in filling regional interlibrary loan requests indicates that : (1) the supply of resources in these regions is inadequate [illegible] the demand for resources; (2) the "search-and-spread" procedures [illegible] utilized are not as effective as they might be; or (3) a combination [illegible] of these reasons.

Given these differences in resource bases and procedures among the regions, it is not surprising that the funded regions achieve greater overall success in interlibrary loan fill rates. These higher fill rates do not necessarily assure that the funded regions are making full use of regional resources, however. In both the funded and the non-funded regions, the regional interlibrary loan procedures currently utilized may or may not be optimal in filling all requests that could be filled within the region. In the funded as well as the non-funded regions, higher regional fill rates might be achieved through alterations in regional search procedures, especially for searches beyond the first or second regional referral. (To precisely establish the degree of effectiveness being achieved in the five regions in tapping regional reference and research resources to meet regional demand for those resources, a sample of unfilled requests and of requests which were referred outside the region for filling would have to be searched against the member library catalogs in the region to determine if indeed these items were not held in the region, or were otherwise unavailable for loan.) The findings of the present study suggest that the Western and Rochester regions are making very effective use of regional resources in satisfying regional demand; that the Capital District and Long Island regions could make more effective use of regional resources if unrestricted access to the strongest collections in these regions were made possible; and, that the Southeastern region is making effective use of regional resources, but that those resources are much more inadequate to regional demand than in any of the other regions

Since the three independent regional interlibrary loan variables -- regional resources, processing methodology and funding -- impact upon the measures of regional interlibrary loan effectiveness directly, and indirectly through their effect on regional interlibrary loan characteristics, these variables should be the focus of planning and decision-making regarding the future development of regional interlibrary loan in New York State. This development obviously has a long-term and a shorter-term component.

In the long-term, improvements in the effectiveness of regional interlibrary loan in any particular region can be achieved by strengthening the library resources available in the region through investments in reference and research resources. In the shorter-term, the library resources that are available for regional interlibrary loan in any particular region can be improved by: (1) arrangements with member libraries that provide access to reference and research resources that are not presently available, or fully available, to meet regional interlibrary loan demand; and, (2) arrangements with libraries outside the region, preferably in adjoining regions, that "expand" regional boundaries to encompass additional reference and research resources to meet the region's interlibrary loan demand. Thus, in the shorter-term, the funding of regional interlibrary loan and the mode of regional interlibrary loan processing -- which are very interdependent -- are the instruments for achieving improvements in matching reference and research resources to patrons' needs for those resources in the 3 R's regions of the State.

The recommendations for processing and funding that emerged from this comparative study of regional interlibrary loan in the two funded and the three non-funded 3 R's regions are presented below. These recommendations include general recommendations which apply to all regions; recommendations, proposals and member library suggestions which apply to each of the five regions under study individually; and, recommendations for a methodology for future performance measurement of regional interlibrary loan in the 3 R's regions in New York State.

GENERAL RECOMMENDATIONS

FUNDING OF REGIONAL INTERLIBRARY LOAN

The following recommendations regarding the funding of interlibrary loan processing in the 3 R's regions reflect the findings and conclusions of this comparative study of regional interlibrary loan.

1. The decision to fund regional interlibrary loan processing within particular 3 R's regions should be based on the impact the funding will have in improving the utilization of reference and research resources in the region, as measured by increased regional fill rates, not on comparisons of the speed of service, patron satisfaction or interlibrary loan processing costs across 3 R's regions.

2. The State should continue its contract funding of the two regional resource libraries in the Western 3 R's region -- the SUNY at Buffalo libraries and the Buffalo and Erie County Public Library -- and of the academic regional resource library in the Rochester 3 R's region -- the University of

Rochester libraries. In both regions, this funding assures that reference and research resources within the region are made available to all in the region who need such resources without regard to institutional affiliations. This funding is cost-effective for the State because it significantly reduces the volume of interlibrary loan requests which are referred to the State Library and the NYSILL referral libraries for processing and filling.

3. Since the service area boundaries of the public regional resource library in the Rochester 3 R's region -- the Rochester Public Library -- are co-terminus with the 3 R's Council's boundaries, it is appropriate that this library makes its collections available for filling regional interlibrary loan requests without contractual reimbursement from the State.

   The Rochester 3 R's Council should continue its contractual funding of the Rochester Public Library, since this arrangement eliminates the necessity of the Council's direct involvement in regional interlibrary loan processing, thereby reducing total processing costs and expediting the handling of interlibrary loan requests in this region.

4. The State should initiate contract funding of regional resource libraries in the Capital District and Long Island 3 R's regions, using the general criteria established in 1968 for the funding of regional resource libraries in the Western and Rochester 3 R's regions. In the Capital District region, the SUNY at Albany library should be reimbursed under contract by the State as an academic regional resource library for the member libraries of the Capital District 3 R's Council. In the Long Island region, both the SUNY at Stony Brook libraries and the Hofstra University library should be reimbursed under contract by the State as academic regional resource libraries for the member libraries of the Long Island 3 R's Council. These three additional academic regional resource libraries should, as a condition of funding, be expected to make their resources available for filling regional interlibrary loan requests under the same terms and conditions as currently apply to the academic regional resource libraries in the Western and Rochester 3 R's regions.

5. The Capital District and Long Island regions both lack a public library of sufficient size to serve under contract as the public regional resource library for the member libraries of these 3 R's Councils. The Southeastern region presently lacks both an academic and a public library of sufficient size to serve under contract as regional resource libraries for that Council's member libraries. Therefore, the State should contract with major libraries outside these three regions to meet their needs for access to significant academic and/or public reference and research resources. Such contracts would improve the interlibrary loan services available to patrons in these regions, and would be cost-effective for the State by reducing the volume of interlibrary loan requests which are referred to the State Library for filling or processing in the NYSILL network. The extra-regional contract resource libraries for the Capital District, Southeastern and Long Island 3 R's Councils should be chosen to minimize communication/mail/delivery delays between the contract libraries and these Councils.

6. In the implementation of recommendation (5) above, the State should give first priority to the need for regional resource libraries for the Southeastern region, second priority to the need for a public regional resource library for the Long Island region, and third priority to the need for a public regional resource library for the Capital District region. These priorities reflect the magnitude of need as reflected by current regional interlibrary loan fill rates.

7. The State's future funding of regional interlibrary loan in the 3 R's regions should be more equitable than it has been, in terms of the impact of this funding on the 3 R's Councils' budgets. The implementation of recommendations (2), (4) and (5) will serve this purpose in the five regions under study. In order to accomplish this purpose in the other 3 R's regions, the State may have to institute "equalization" funding of 3 R's Councils that need not or cannot effectively be funded on an indirect basis through the mechanism of State contracts with regional resource libraries. Such "equalization" funding in support of regional interlibrary loan should be flexible to allow for varying regional needs. For example, some regions may wish to use such funds to effect improvements in regional interlibrary loan work-flows, others may wish to establish central files on member library monograph holdings, and still others may wish to invest in strengthening regional collections under various cooperative arrangements.

8. The 3 R's Councils should be required to implement the general and region-specific processing recommendations that are presented in this report as a precondition for the State's funding of regional resource libraries and the institution of "equalization" funding.

REGIONAL INTERLIBRARY LOAN PROCESSING

The following general recommendations regarding the processing of regional interlibrary loan in the 3 R's regions reflect the findings and conclusions of this comparative study of regional interlibrary loan.

9. The State Library should require that interlibrary loan requests originating in regions with State-funded regional resource libraries, and in any regions that might receive interlibrary loan processing "equalization" funds, be referred to the State Library for filling or processing in the NYSILL network only after having been searched by the 3 R's interlibrary loan processing center for possible filling in the region. Such a policy would serve to maximize the utilization of regional resources, and reduce the volume of requests being referred to statewide resources.

10. The proposed academic regional resource libraries for the Capital District and Long Island regions could receive referrals from the member libraries either directly --as is the case in the Rochester 3 R's region -- or indirectly through the 3 R's Council interlibrary loan processing center -- as is the case in the Western 3 R's region. In general, the higher the proportion of regional requests which can be filled by a particular regional resource library, the more desirable it is that referrals to that library be made directly by the member libraries in the region in accordance with established referral guidelines, and not pass through the 3 R's Council. This procedure eliminates extra handling of requests, thereby lowering processing costs and reducing the total elapsed time required to fill requests.

11. The extra-regional resource libraries proposed for the Capital District, Southeastern and Long Island regions should be accessed through the 3 R's Council interlibrary loan processing center in each region, rather than directly by the member libraries. This procedure will enable each Council to control the use of these resource libraries, thereby assuring that requests that can be filled within the region are not referred to the extra-regional resource libraries.

12. The 3 R's Councils should issue supplements to their regional union lists of serials annually, and should re-print these union lists no less frequently than every five years. Out-of-date and difficult to use union lists have the effect of reducing serial request fill rates, and increasing the proportion of serial requests that are referred to the 3 R's Council interlibrary loan processing center rather than directly to the lending member library. This higher proportion results in increased interlibrary loan processing costs and longer elapsed times.

13. The basic union list and annual supplements for each 3 R's region should be distributed to the other 3 R's Councils to facilitate extra-regional borrowing of serials for reference and research purposes.

14. The present study has not documented the extent to which maximum utilization of regional resources is being achieved in the five 3 R's regions with current interlibrary loan processing procedures. Such documentation requires research that establishes whether or not requests unfilled after processing in the region, or filled outside the region without regional processing, could have been filled within the region if a different mode of processing had been utilized. Such research should be incorporated into the Division of Library Development's future monitoring of regional interlibrary loan in the 3 R's regions in the State.

SPECIFIC REGIONAL RECOMMENDATIONS, PROPOSALS AND SUGGESTIONS

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

A. Recommendations: None specific to this region.

B. Proposals:

1. Consider eliminating the 3 R's Council headquarters as the first step in regional referrals and allow direct referrals to the regional resource libraries.

   Reason: The potential for a reduction in elapsed time.

C. Member Library Suggestions: 1/

Speed up reporting on follow-up, status (4)
Update Union List which is five years old (10)
Report by TWX, not telephone (1)
Change TWX to standard "Bird" format (1)
Improve accuracy in writing (1)
Put quota on borrowing to prevent abuses and permit tighter budget control (1)
More staff for processing (9)
Faster processing and delivery (2)
3 R's Council should verify incomplete references for libraries which lack facilities to do so (3)
Develop a source for non-book materials (1)
Develop cooperative serials acquisition program (1)
Establish centralized depository for little used volumes (1)
Develop union catalog for monographs (1)
Develop union list of reports (1)
Provide more reference tools for member libraries (1)
Provide second TWX machine and typist for preparing tapes at Buffalo-Erie County Public Library (1)
Provide staff support to lending libraries in accordance with volume lent (1)
Screen requests to weed out trivial and non-research material (1)
Develop procedures to send requests outside the region when not available within the region or via NYSILL (1)
Allow use of OCLC data banks for call numbers via telephone (1)
Be able to mail in requests rather than phone (1)
Allow member library access to current monographs (1)
Be allowed to call other libraries for urgent requests (1)
Establish a periodical duplicate and exchange program (1)
Automate ILL procedures (1)
Provide around the clock "hot line" service for answering questions (2)
Initiate a reserve system for the Council (1)
Loan films (1)
Establish more liberial policies for ILL of government documents (1)

ROCHESTER REGIONAL RESOURCES LIBRARY COUNCIL

A. Recommendations: None specific to this region.

B. Proposals:

1. Investigate the alternatives to the "Want List" as a mechanism for searching requests among member libraries.

   Reasons: The potential for reductions in elapsed time for processing requests.

1/ Member Library Questionnaire: Questions 4A and 6.

The potential improvement in fill rates for a second referral location within the region.

The potential for reducing the burden on individual libraries, each of which must search collections for availability of materials.

The potential for reducing the total system costs of interlibrary loan processing.

2. Investigate an alternative delivery system, since the costs of delivery in the Rochester region seem excessive when compared to the delivery costs in the Western region.

Reason: The potential reduction in per item delivery costs.

C. Member Library Suggestions: 1/

Remove restrictions on loaning current publications (1)
Lower the cost per transaction (1)
Provide books which are $6.95 in value (1)
There is too much checking; if the request does not clear it should be returned (1)
Better in-service training with bibliographic tools and verification techniques by 3 R's Director's office (1)
Provide training sessions for new ILL librarians (2)
Speed up processing (2)
Standardize and enforce procedures (2)
Provide photocopies without charge to borrower, with lending library reimbursement by State (2)
Have alternatives when requests to NYSILL are returned as unavailable (1)
Add staff to speed turnaround (1)
Expand Medical Librarians Continuing Education Program on local level (1)
Develop union list for audio-visual materials (2)
Provide more in-depth service (2)
Compensate libraries for purchase of NUC (1)
Coordinate member purchases to assure adequate collections without duplication (1)
Reimburse loan centers with more realistic amounts to avoid net drain on their resources and provide for inflation (2)
Develop and provide access to union catalog of regional monograph holdings (2)
Provide telephone access to bibliographic search tools (2)
Make ILL manual more coherent (1)
Develop source for government documents and standards (2)
Accept non-verifiable requests when five or more sources have been searched (1)

1/ Member Library Questionnaire: Questions 4A and 6.

Include more libraries on delivery route and expand number of deliveries (2)
Expand use of teletype in member libraries (4)
Reimburse libraries that lend more than they request (1)
Provide access to OCLC terminals for all members (1)
Input RRRLC Union List of Serials into OCLC (2)
Update RRRLC Union List of Serials (1)
Provide workshops on regional-NYSILL ILL procedures, and other training (2)
Provide more money for verification (1)
Provide photocopies without charge (1)
Provide hard copy of RRRLC Union List of Serials without pushing fiche to save money (1)

CAPITAL DISTRICT LIBRARY COUNCIL

A. Recommendations:

1. Institute a regional policy requiring all member libraries to have requests searched by the 3 R's Council prior to referral to the State Library.

   Reasons: To justify the 3 R's Council's investment in the central holdings device.

   To maximize the utilization of regional resources and thereby reduce the burden upon the State Library.

B. Proposals: None specific to this region

C. Member Library Suggestions: [1/]

Expand union cataog (2)
Reimburse libraries that lend more than they borrow (4)
Acquire more bibliographic tools, including regular on-line bibliographic system providing information, locations, and eventually automated circulation (3)
More staff to maintain catalog, supply locations, and create tools for interlibrary cooperation (6)
Fund Albany Medical College (1)
Print a union catalog of member monograph holdings (1)
Permit phone calls for urgent materials only (1)
Publish list of members' loan periods (1)
Sponsor cooperative acquisitions program for serials (4)
Incorporate opinions of members' ILL librarians in planning (1)
Provide additional (twice-day) delivery service between academic libraries (3)
Include holdings of New York State Medical Library in CDLC lists (1)
Publish union list of report literature (1)

[1/] Member Library Questionnaire: Questions 4A and 6.

Allow access to the State Library (2)
Revise/update Union List of Serials to include State Library holdings (4)
Include information in 3 R's catalog in NYSILL network computer (2)
Storage and retrieval (3)
Expand OCLC participation (1)
Increase data base (2)
Establish permanent headquarters of 3 R's (4)
Cooperative access to information retrieval and data banks (2)
Permit loans of audio-visual materials (1)
Provide better communication devices (1)

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

A. Recommendations: None specific to this region.

B. Proposals: None specific to this region

C. Member library Suggestions: 1/

Update Union List of Serials, provided it can be kept up-to-date; SEBC shouldn't process serials requests in other than special cases (12)
Increase delivery frequencies (5)
Provide OCLC locations automatically on unfilled items (1) Add telephone line; install telephone answering service (2)
Establish means to forward direct requests that cannot be filled on to 3 R's rather than back to requesting library for forwarding (1)
Libraries should exchange main monograph entries (1)
Provide postage refunds, free ALA/ILL forms, and assist libraries with purchase of catalog cards for new books (1)
Provide greater borrowing privileges for audio-visual materials, including catalog of what is available (1)
Remove restriction re: price and date of books that can be borrowed via ILL (1)
Fund SUNY-New Paltz to help it keep up journal subscriptions and duplicates of heavily borrowed monographs (1)
Purchase published catalogs of specialized collections in NYSILL (1)
Provide union list of microforms (e.g., collections, materials, and facilities for good print-out, with access to SUNY-New Paltz ERIC fiches and USMA ultrafiches of Library of American Civilization and English Literature) (1)
Have access to Center for Research Libraries (1)
Develop union catalog (2)
Have more direct access to data banks (1)
Develop cooperative acquisitions program (2)
Develop methods to improve fill rate (via OCLC, mini-networks of similar libraries) (1)
Provide better access to regional monograph holdings (1)
Set up on-line communications service (1)
Provide information re: special collections and subject strengths of members (1)
Provide access to obscure journals (1)

1/ Member Library Questionnaire: Questions 4A and 6.

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

A. Recommendations:

1. Institute a regional policy requiring all member libraries to refer requests to the 3 R's Council prior to referral to the State Library.

   Reasons: To justify the 3 R's Council's investment in the central holdings device.

   To maximize the utilization of regional resources and thereby reduce the burden upon the State Library

2. In keeping with the above, eliminate the internal fee structure.

   Reasons: To eliminate the impediment to the use of the 3 R's Council with its central holdings information advice.

   To reduce the burden upon the State Library for requests that could be filled within the region.

B. Proposals:

1. Investigate an alternative delivery system

   Reason: To reduce the per item delivery cost

C. Member Library Suggestions: 1/

For faster delivery, it should not be necessary to route material via 3 R's when lending and borrowing libraries are close by (2)
Provide a grant to allow 3 R's requests at nominal charge, e.g., $100/year (1)
Move 3 R's to a SUNY library for access to verification tools (1)
Mail photocopy loans direct (1)
Provide rush order service from Engineering Societies Library in New York, to be paid for by requesting library (1)
Provide more TWX locations for intrasystem communication (1)
Speed processing and/or delivery frequencies by providing more personnel or funding (6)
Reduce or eliminate charges (8)
Expand services to include audio-visual materials (3)
Reimburse large suppliers who don't generate many of their own requests (1)

1/ Member Library Questionnaire: Questions 4A and 6.

Coordinate ILL requests with informational retrieval systems in some member libraries and/or have more involvement with on-line data bases (2)
Develop union catalog or data bank of member monograph holdings (4)
Establish cooperative acquisitions program (2)
Train drivers to aid in filling requests on site (1)
There should be better communication and cooperation among members (1)
Provide more staff to verify citations (1)
Provide retrieval and duplication of microfiche via central clearinghouse (1)

RECOMMENDATIONS FOR A METHODOLOGY FOR FUTURE PERFORMANCE MEASUREMENT

This comparative study of regional interlibrary loan in New York State was an investigative analysis designed to isolate and measure the impacts of regional characteristics, regional interlibrary loan processing procedures, and regional interlibrary loan funding on various measures of regional interlibrary loan effectiveness. Since the study was intended to not only measure levels of impact, but also to identify the ways in which these impacts occur, data had to be collected on a large number of potentially relevant variables. This approach need not be duplicated for future performance measurements of regional interlibrary loan effectiveness in the 3 R's regions of the State.

In order to monitor regional interlibrary loan effectiveness in the future, data on fill rates and elapsed times should be collected, the extent of full utilization of regional reference and research resources to meet regional demand for these resources should be established, 1/ and the nature and subject matter of unfilled regional interlibrary loan requests in each 3 R's region should be analyzed These three approaches to future performance measurement of regional interlibrary loan are sufficient to provide those responsible for interlibrary loan planning and decision-making in the 3 R's regions of the State with an appropriate information base for the discharge of their responsibilities.

The data needed for the three approaches to future performance measurement should be collected for all requests in a given time period which originated at the member libraries which make significant use of regional interlibrary loan in the particular 3 R's regions being monitored. These data should then be analyzed to produce the following performance measures:

1/ See recommendation (14) above.

- Volume of requests by nature of material (i.e., serials and monographs);
- Volume of requests by referral option (i.e., proportions referred direct, referred through the 3 R's Council, and referred to the State Library); 1/
- Fill rates, overall and according to nature of material and referral option;
- Elapsed times, overall and according to nature of material and referral option;
- Proportions of requests unfilled and of requests filled outside the region that were for materials which are held in the region and available for photocopy/loan to fill interlibrary loan requests; and
- Unfilled requests, by nature of material and subject area.

A time period of one month for request monitoring is certainly sufficient for these purposes. (The same month should be used in all regions for any comparative performance measurement which might be undertaken.) The one-month period should not be a current month, but three to six months prior to the monitoring exercise. In this way, the problems of tracking pending requests will be greatly diminished because most requests will either have been filled or cancelled by that time

Requests should be drawn from member libraries which are large or medium interlibrary loan borrowers, such as those institutions from which the sample for this study was drawn.

Request data are generally recorded by member librarians on the standard ALA forms or on regionally developed forms, such as those shown in Appendix D. If a research assistant were used to collect data, the costs would run between $850 and $900 per region. Otherwise, member librarians might be prevailed upon to record the necessary information on pre-prepared forms.

1/ If a request, at any time in its referral history, was sent to the State Library it should be treated as a "State Library referral." If it passed through the 3 R's Council and was not subsequently referred to the State Library, it should be treated as a "3 R's Council referral." If the request at no time in its referral history passed through the 3 R's Council or the State Library, but was referred directly to another library either within or outside the region, it should be treated as a "direct referral."

APPENDIX A

METHODOLOGY FOR THE COMPARATIVE STUDY OF REGIONAL INTERLIBRARY LOAN IN NEW YORK STATE

This Appendix describes how the data needed to accomplish the research endeavors of this study were gathered.

REVIEW OF PUBLISHED AND OTHER WRITTEN MATERIALS

Information on the demographic characteristics of each of the nine 3 R's regions was gathered from various published sources, including: U.S. Bureau of the Census. *Census of the Population: 1970, General Social and Economic Characteristics.* Final Report PC(1)-C34, New York. U.S. Government Printing Office: Washington, D.C., 1972; U.S. Bureau of the Census. *Census of the Population: 1970, General Population Characteristics.* Final Report PC(1)-C34, New York. U.S. Government Printing Office: Washington, D.C., 1971; U.S. Office of Education. *National Center for Education Statistics Annual, 1970.* U.S. Government Printing Office: Washington, D.C. 1971; U.S. National Science Foundation. *Research and Development in Industry Annual, 1972.* U.S. Government Printing Office: Washington, D.C.

Information on the library resources available in each of the nine regions was also gathered from published sources, including: *American Library Directory, 1974-1975.* New York - R.R. Bowker Company, 1974 *Public and Association Library Statistics, 1973.* The University of the State of New York, The State Education Department, Division of Library Development. Albany, New York, 1973; *A Directory of College and University Libraries in New York State, 1973.* The University of the State of New York, The State Education Department, Division of Library Development, Albany, New York, 1973; *Postsecondary Education in Transition.* The University of the State of New York, The State Education Department. Albany, New York, 1974; U.S. Office of Education. *Library Statistics of Colleges and Universities: Institutional Data.* National Center for Educational Statistics, Library Surveys Branch. U.S. Government Printing Office: Washington, D.C., 1971.

This demographic and library resources information was used to prepare the major portion of the individual profiles of the nine 3 R's regions in New York State that are presented in Appendix B.

Published and other written materials -- such as State documents, issues of *Bookmark* and regional interlibrary loan manuals -- were also reviewed for information on regional interlibrary loan funding; on the nature, scope and general functioning of the interlibrary loan bibliographic center activity in each of the nine 3 R's regions; and, for descriptions of the role of the 3 R's Councils in regional interlibrary loan processing in the five regions under study. This information was drawn upon in the preparation of the regional profiles, and for the analyses of the factors affecting regional interlibrary loan in the five regions under study.

FIELD VISITS TO THE FIVE 3 R'S COUNCILS UNDER STUDY

Three field visits were made to the headquarters and the regional interlibrary loan offices of the five 3 R's Councils under study in order to obtain information on the Councils' policies and procedures governing regional interlibrary loan, and to document the nature and levels of the resources committed to regional interlibrary loan processing by the 3 R's Councils

An initial visit to each 3 R's Council under study was made in June, 1975 to introduce the study and the study team to the Council staff and to librarians from selected 3 R's Council member libraries. These visits also provided the study team members an opportunity to obtain an overview of the interlibrary loan activities in each of the five 3 R's regions, and to gather regional interlibrary loan statistics from the 3 R's Councils. The second round of field visits was made in August, 1975. These visits were made to secure answers to questions about the characteristics of the region or about regional interlibrary loan processing that had surfaced in the review of published and other written materials; and, to establish the procedures and work plan for the collection of a sample of regional interlibrary loan requests from selected member libraries. The third series of field visits to the five 3 R's Councils under study was carried out in October, 1975. These visits were for the purpose of clarifying regional interlibrary loan policies or activities about which there were questions, and to enable the study team members to collect regional interlibrary loan cost data by reviewing records and having interviews with the Council Directors and their interlibrary loan staff.

The field visits provided most of the information for the descriptions of the role of the 3 R's Councils in regional interlibrary loan processing. Some of the field visit data were also utilized in the analyses of the extent and nature of regional interlibrary loan in the five regions under study.

TELEPHONE INTERVIEWS WITH 3 R'S COUNCIL STAFF

In the intervals between the field visits, members of the study team used telephone interviews to obtain clarifying information from the staffs of the five Councils under study. Telephone interviews were also conducted with representatives of the four 3 R's Councils not included in the comparative study of regional interlibrary loan in order to gather data on the nature, scope and general functioning of the interlibrary loan bibliographic center activity in these regions. This information was used in the preparation of the bibliographic center descriptions included in the regional profiles of the four regions not visited during the study.

SAMPLE SURVEY OF REGIONAL INTERLIBRARY LOAN REQUESTS

In order to establish the characteristics of regional interlibrary loan requests in the five regions under study -- namely, the type of originating library, patron status, and the nature and subject matter of material requested -- and to obtain data for applying various measures of the effectiveness of regional interlibrary loan in these regions -- namely, interlibrary loan fill rates, the character of unfilled requests, and the time required to fill requests -- a sample survey of regional interlibrary loan requests in the five regions under study was carried out.

An overall sample of approximately 1500 requests was selected. This total was distributed among the five study regions in proportion to the volume of regional interlibrary loan activity reported to the study team members during the initial field visits to the 3 R's Council headquarters. The smallest number of requests was allocated to the region that had the lowest volume of borrowing through the 3 R's Council in 1974, and the highest number of requests was allocated to the region that reportedly had the highest annual volume of borrowing through the 3 R's Council that year.

Within each region, the specific member libraries to be sampled and the number of requests to be drawn at these libraries (or library systems, in the case of public libraries) was determined by reviewing statistics provided by each 3 R's Council headquarters. These statistics indicated the relative use being made of the 3 R's Council's interlibrary loan services by the Council's member libraries. Exhibit A-1 lists the member libraries in the five regions whose interlibrary loan request files were sampled, and indicates the number of requests that were drawn at each library or library system.

At each member library selected for sampling, a sample period consisting of the library's most recently completed month of interlibrary loan activity was selected. The total number of requests initiated by the library during the month was divided by the predetermined sample size for that library in order to arrive at the sampling ratio. Requests were randomly drawn according to this ratio (i.e., every tenth request, sixteenth request, etc.). Requests which were pulled for the sample but which were still pending were followed up later in order to assure as complete information as possible on each request's referral history and outcome.

Generally, requests in the sample were drawn from summer months of interlibrary loan activity. Although the drawing of requests initiated during summer months introduces a potential bias into the sampling because of too few student requests, too many faculty requests, requests for numerous items submitted by one faculty member, etc., we have found that

EXHIBIT A-1

3 R'S COUNCIL MEMBER LIBRARIES INCLUDED IN THE SAMPLE SURVEY OF REGIONAL INTERLIBRARY LOAN REQUESTS

Region		Regional Sample Size		Regional Percent
WESTERN NEW YORK LIBRARY RESOURCES COUNCIL		367		100
Public Library Systems		95		25.9
Buffalo and Erie County Library System	30		8.2	
Nioga Library System	34		9.3	
Chautauqua-Cattaraugus Library System	31		8.4	
Academic Libraries		163		44.4
SUNY at Buffalo, Lockwood Library	20		5.4	
SUNY at Buffalo, Health Sciences	20		5.4	
SUNY at Buffalo, Science and Engineering	20		5.4	
SUNY College at Fredonia	20		5.4	
SUNY College at Buffalo	21		5.7	
Genessee Community College	20		5.4	
Canisius College	10		2.7	
Niagara University	11		3.0	
St. Bonaventure University	11		3.0	
D'Youville College	10		2.7	
Special Libraries		109		29.7
Roswell Park Memorial Institute	20		5.4	
Edward J. Meyer Hospital	19		5.2	
Calspan Corporation, Technical Library	20		5.4	
Hooker Chemicals and Plastics Corporation	20		5.4	
Carborundum Company, Research Library	20		5.4	
Buffalo Society of Natural Sciences	10		2.7	

Region		Regional Sample Size		Regional Percent
ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL		350		100
Public Library Systems		28		8.0
Pioneer Library System (Rochester Public Library)	28		8.0	
Academic Libraries		153		43.7
University of Rochester: Rush Rhees	20		5.7	
University of Rochester: Miner Medical	20		5.7	
SUNY College at Brockport	33		9.4	
SUNY College at Geneseo	24		6.9	
St. John Fisher College	16		4.6	
Hobart & William Smith Colleges	20		5.7	
Rochester Institute for Technology	20		5.7	
Special Libraries		169		48.3
Genesee Hospital	10		2.8	
Rochester General Hospital	10		2.8	
St. Mary's Hospital	10		2.8	
Monroe Community Hospital	10		2.8	
Highland Hospital	10		2.8	
Kodak: Research Library	27		7.7	
Kodak: Business Library	10		2.8	
Kodak: Health & Safety Laboratory Library	22		6.3	
Xerox Corporation: Technical Information Center Library	10		2.8	
Xerox Corporation: Business Library	10		2.8	
Bausch & Lomb, Scientific Library	20		5.7	
Penwalt Corporation, Pharmaceutical Division	20		5.7	

Region		Regional Sample Size		Regional Percent
CAPITAL DISTRICT LIBRARY COUNCIL		300		100
Public Library Systems		60		20.0
Mohawk Valley Library Association	30		10.0	
Southern Adirondack Library System	30		10.0	
Academic Libraries		160		60.0
SUNY at Albany	20		6.7	
SUNY College at Cobleskill	20		6.7	
Hudson Valley Community College	20		6.7	
Union College	20		6.7	
Russell Sage College	20		6.7	
Siena College	20		6.7	
Skidmore College	20		6.7	
Albany Medical College	20		6.7	
Special Libraries		60		20.0
St. Peter's Hospital	20		6.7	
Samaritan Hospital	20		6.7	
General Electric, Main Library	20		6.7	

Region		Regional Sample Size		Regional Percent
SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL		194		100
Public Library Systems		75		38.7
Ramapo-Catskill Library System	40		20.6	
Mid-Hudson Library System	35		18.1	
Academic Libraries		100		51.5
Vassar College	24		12.4	
U.S. Military Academy at West Point	18		9.3	
SUNY College at New Paltz	20		10.3	
Bard College	19		9.8	
Sullivan County Community College	10		5.2	
Culinary Institute of America	9		4.6	
Special Libraries		19		9.8
Texas Instruments Corporation	9		4.6	
Helen Hays Hospital	10		5.2	

Region		Regional Sample Size		Regional Percent
LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.		269		100
Public Library Systems		44		16.3
Suffolk Cooperative Library System	30		11.1	
Nassau County Library System	14		5.2	
Academic Libraries		150		55.8
Adelphi University	10		3.7	
Hofstra University	20		7.4	
C.W. Post Center of Long Island University	20		7.4	
SUNY at Stony Brook	20		7.4	
SUNY College at Farmingdale	20		7.4	
SUNY College at Old Westbury	10		3.7	
Dowling College	20		7.4	
Nassau Community College	20		7.4	
Suffolk County Community College	10		3.7	
Special Libraries		75		27.9
Grumman Aerospace Corporation	20		7.4	
Brookhaven National Laboratory	20		7.4	
Cold Spring Harbor Laboratory	8		3.0	
Burns and Roe, Inc.	10		3.7	
Hazeltine Corporation	10		3.7	
Fairchild Republic Company	7		2.6	

sampling over a longer period would be impossible in a number of the member libraries because they discard their interlibrary loan records for completed requests after three months, maintaining only statistics on the number of requests originated. Since we wanted the sampling period to be the same for all the member libraries in the five study regions, we decided to draw the sample from each libraries most recent completed month of interlibrary loan activity.

A research assistant was selected by the Director of each 3 R's Council to draw the sample from the selected member libraries in the region and to record the needed data on pre-prepared sampling forms. In each instance, the assistant had some educational and work experience in library sciences. At least two member libraries were visited in each region at the outset of the sampling by the research assistant and a member of the study team for the purpose of instruction in sample drawing and data recording. Member library filing systems varied sufficiently to require contingency instructions to the research assistants for dealing with situations in which filing procedures, such as alphabetic filing, would introduce a bias into the sampling if not taken into account. Wherever the research assistants had problems in understanding a library's filing system or ways in which information was recorded on library forms, the librarians were of considerable help. The drawing of the sample in each member library lasted between one and two days depending on the number to be drawn. Telephone calls were later made to librarians by the research assistants to check on the status of requests that were still pending when the sample was drawn.

Exhibit A-2 is a copy of the instrument used to record data on each sampled request. Some of the information desired was not carefully maintained by all member libraries. This includes citation information, patron and request eligibility, and Dewey Decimal number. Referral history dates between a request's initiation and its final status report were often not recorded. While we were able to overcome some of these problems through additional work on the part of the research assistants, missing citations, patron eligibility and referral history dates could not be replicated, and were simply lost to the study in those instances in which they were missing from the member library's request files.

After the second round of field visits, it became apparent that there was a high level of direct member library borrowing in all five study regions, and that requests processed directly did not pass through the 3 R's Council interlibrary loan unit. This meant that the statistics provided by the Councils which were used to determine the sampling design may not have accurately reflected the relative proportions of total regional interlibrary loan activity attributable to each type of library in the five regions under study. Accordingly, the sample as drawn had to be tested for confidence against statistics gathered from the member libraries in each region and, where deficient, weighted to adjust the sample proportions for borrowing from public library systems, academic libraries and special libraries to the actual proportions as ascertained from the member libraries themselves.

EXHIBIT A-2

DATA INSTRUMENT FOR SAMPLE SURVEY OF REGIONAL INTERLIBRARY LOAN REQUESTS

CODING FORM FOR PRIMARY SAMPLE		*Do not write here*
Name of Originating Library: ______________________		*CARD 1*
ORIGINATING LIBRARY CODE:	☐☐☐	*1-3*
CASE ID:	☐☐	*4-5*
	1	*6*
AUTHOR, LAST NAME FIRST:	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	*7-56*
REQUESTOR, LAST NAME FIRST:	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	*57-80*
		CARD 2 *Repeat 1-5*
	2	*6*
TITLE OF BOOK OR ARTICLE:	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	*7-80*
		CARD 3 *Repeat 1-5*
	3	*6*
YEAR PIECE WAS PUBLISHED:	☐☐☐☐	*7-10*
For Periodicals: TITLE, VOLUME, ISSUE *For Books:* PLACE PUBLISHED, PUBLISHER	☐☐☐☐☐☐ ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	*11-80*
		CARD 4 *Repeat 1-5*
	4	*6*
PATRON STATUS:	☐	*7*
DEWEY DECIMAL CODE (*first three digits*):	☐☐☐	*8-10*
NELSON ASSOCIATES SUBJECT CODE:	☐☐	*11-12*
LANGUAGE:	☐	*13*
VERIFICATION:	☐	*14*
BOOK/NONBOOK:	☐	*15*
URGENCY:	☐	*16*
ELIGIBILITY FOR NYSILL REFERRAL:	☐	*17*

EXHIBIT A-2 (cont'd)

MONTH REQUEST MADE BY ORIGINATING LIBRARY:	☐	*18*
DAY OF MONTH REQUEST MADE BY ORIGINATING LIBRARY:	☐☐	*19-20*

Referral History

FIRST REFERRAL LIBRARY:	☐☐☐	*21-23*
MONTH REQUEST RECEIVED AT FIRST REFERRAL LIBRARY:	☐	*24*
DAY OF MONTH REQUEST RECEIVED	☐☐	*25-26*
STATUS AT THIS LIBRARY:	☐	*27*
SECOND REFERRAL LIBRARY:	☐☐☐	*28-30*
MONTH REQUEST RECEIVED AT SECOND REFERRAL LIBRARY:	☐	*31*
DAY OF MONTH REQUEST RECEIVED:	☐☐	*32-33*
STATUS AT THIS LIBRARY:	☐	*34*
THIRD REFERRAL LIBRARY:	☐☐☐	*35-37*
MONTH REQUEST RECEIVED AT THIRD REFERRAL LIBRARY:	☐	*38*
DAY OF MONTH REQUEST RECEIVED:	☐☐	*39-40*
STATUS AT THIS LIBRARY:	☐	*41*
FOURTH REFERRAL LIBRARY:	☐☐☐	*42-44*
MONTH REQUEST RECEIVED AT FOURTH REFERRAL LIBRARY:	☐	*45*
DAY OF MONTH REQUEST RECEIVED:	☐☐	*46-47*
STATUS AT THIS LIBRARY:	☐	*48*
TOTAL NUMBER OF REFERRAL LIBRARIES:	☐	*49*
FINAL STATUS OF ITEM:	☐	*50*
LIBRARY PROVIDING FINAL STATUS:	☐☐☐	*51-53*
MONTH FINAL STATUS REPORT SENT BY FINAL LIBRARY:	☐	*54*
DAY OF MONTH FINAL STATUS REPORT SENT:	☐☐	*55-56*
MONTH FINAL STATUS REPORT RECEIVED BY ORIGINATING LIBRARY:	☐	*57*
DAY OF MONTH FINAL STATUS REPORT RECEIVED:	☐☐	*58-59*

If referred to NYSILL at any point,
write in NYSILL Request No. here: __________

Exhibit A-3 shows actual reported volume of regional interlibrary loan by type of library in the five regions under study, the proportions in the original sample, and the weighted sample proportions. Adjusting weights were calculated and applied to the original sample for public library systems and academic libraries in the western region (.55 and 1.21 respectively), for academic libraries and special libraries in the Rochester region (.77 and 1.22 respectively), for academic libraries and special libraries in the Southeastern region (.59 and 2.08 respectively, and for all three types of libraries in the Long Island region (2.61 for public library systems, .75 for academic libraries and .57 for special libraries). Weights were not applied whenever the actual sample proportions were found to be acceptable -- within a .05 level of probability -- as representative of the actual proportions as determined from the statistics supplied by the member libraries. There were 1,480 requests in the original sample. After weighting, there were 1,454 weighted cases in the sample.

QUESTIONNAIRE SURVEY OF 3 R'S COUNCIL MEMBER LIBRARIES

Data on the extent and nature of regional interlibrary loan had to be gathered from the member libraries of the 3 R's Councils in the five regions under study. It also seemed desirable to secure the views of the member library librarians regarding possible improvements in regional interlibrary loan and/or in the functioning of the statewide NYSILL network as it affects regional interlibrary loan activities. The mechanism for collecting this information was a member library questionnaire. The primary purposes of the distribution of this questionnaire were: (1) to establish the amount of interlibrary loan borrowing initiated by the Councils' member libraries; (2) to determine the request patterns for member library interlibrary loan borrowing; (3) to ascertain why the member libraries use these request patterns; and (4) to identify the changes in regional interlibrary loan processing that the member library librarians feel would lead to better or more easily provided interlibrary loan service.

A copy of the member library questionnaire and the letters that were sent with the initial and follow-up mailings is provided in Exhibit A-4. The questionnaire was first distributed in mid-September, 1975. A follow-up mailing to the non-respondents was carried out in late October. By the middle of November, approximately 80 percent of the member libraries in the five regions under study had responded, although the response rate varied considerably by region. At the time of the writing of the draft final report, about 90 percent of all member libraries had responded. This included all but what were presumed to be the very low volume originators of regional interlibrary loan requests.

EXHIBIT A-3

REPORTED VOLUME OF INTERLIBRARY LOAN - MEMBER LIBRARY QUESTIONNAIRE, ORIGINAL SAMPLE SIZE, AND WEIGHTED SAMPLE SIZE

	TOTALS			PUBLIC			ACADEMIC			SPECIAL		
3R'S REGION	Member Questionnaire Response	Weighted Sample Size	Original Sample Size	Member Questionnaire Response	Weighted Sample Size	Original Sample Size	Member Questionnaire Response	Weighted Sample Size	Original Sample Size	Member Questionnaire Response	Weighted Sample Size	Referral Sample Size
WESTERN	49,619 100%	358 100%	367 100%	7,116 14.3%	52 14.5%	95 25.9%	26,707 53.8%	197 55.0%	163 44.4%	15,796 31.8%	109 30.5%	109 29.7%
ROCHESTER	45,639 100%	352 100%	350 100%	3,289 7.2%	28 8.0%	28 8.0%	15,421 33.8%	118 33.5%	153 43.7%	26,929 59.0%	206 58.5%	169 48.3%
CAPITAL DISTRICT	71,492 100%	300 100%	300 100%	12,277 17.2%	60 20.0%	60 20.0%	42,214 59.0%	180 60.0%	180 60.0%	17,001 23.8%	60 20.0%	60 20.0%
SOUTHEAST	50,937-56,096 100%	174 100%	194 100%	26,023 47.1-51.3%	75 43.1%	75 38.7%	15,370-17,078 30.2-30.9%	59 33.9%	100 51.5%	9,544-12,995 18.7-22.0%	40 23.0%	19 9.8%
LONG ISLAND	47,548-51,946 100%	270 100%	269 100%	21,209 40.8-44.6%	115 42.6%	44 16.4%	19,766-21,563 41.5-41.6%	112 41.5%	150 55.8%	6,573-9,174 13.8-17.7%	43 15.9%	75 27.9%
OVERALL	265,235-274,792 100%	1,454 100%	1,480 100%	69,914 25.4-26.4%	330 22.7%	302 20.4%	119,478-122,983 44.8-45.0%	660 45.4%	746 50.4%	75,843-81,895 28.6-29.8%	458 31.5%	432 29.2%

CHECCHI AND COMPANY
1730 RHODE ISLAND AVENUE, N. W.
WASHINGTON, D. C. 20036

TELEPHONE
202 452-9700

CABLE ADDRESS
"CHECCHI"
TELEX 440157

September 21, 1975

Dear Librarian:

The New York State Education Department has commissioned Checchi and Company to conduct a comparative study of regional interlibrary loan in five of the nine Reference and Research Resources (3R's) Systems in the State. The five Systems included in the study are: the Capital District Library Council for Reference and Research Resources, the Long Island Library Resources Council, the Rochester Regional Research Library Council, the Southeastern New York Library Resources Council, and the Western New York Library Resources Council.

As you may know, two of these 3R Systems--the Rochester Regional Research Library Council and the Western New York Library Resources Council in Buffalo--receive supplemental allocations from the State to subsidize regional interlibrary lending. The other three Systems included in the study do not receive such supplemental funding. They provide various regional interlibrary loan services by drawing on funds from their regular interlibrary loan services by drawing on funds from their regular budgets. The purposes of this study are to develop findings and make recommendations in the following areas:

1. Determine the significant difference between the funded and non-funded regional programs. Are the funded programs sufficiently similar to be categorized for comparison with the non-funded programs?
2. Determine the impact of regional funding versus non-funding.
3. Determine the effectiveness of current policies and procedures in providing interlibrary loan service on a regional basis.
4. Recommend policies and procedures (operational and fiscal) which will improve the effectiveness of the regional approach to interlibrary loan.
5. Recommend a methodology for periodic performance measurement of regional interlibrary loan:

a. number and types of requests;

b. regional fill rates;

c. request fill time;

d. costs:
   (1) cost of regional referral;
   (2) cost of regional fill;

e. other factors that surface as being important.

One important source of data for this study must be gathered through the enclosed questionnaire, which is being sent to each member library of the five 3R Systems being studied. Some member libraries may not use interlibrary loan very often. Nevertheless, if you originated any interlibrary loan requests during 1974, we would appreciate your completing this questionnaire. If you made no use whatever of interlibrary loan in 1974, complete only the first part of the questionnaire.

We have made very effort to limit the burden that this questionnaire will place on you and your interlibrary loan staff. Some libraries may not keep the kind of numerical data we request in a few of the questions. In such cases, we ask that you and your staff provide your best possible estimates.

Please return the completed questionnaire by Friday, October 3, 1975. An addressed, stamped envelope is provided for your convenience. If you have any problems completing the questionnaire, please do not hesitate to telephone us collect at 202/452-9700.

Sincerely yours,

Eugene Vorhies, Jr.
Harry Carr
Vicki MacDonald

Checchi and Company

CHECCHI AND COMPANY
1730 RHODE ISLAND AVENUE, N. W.
WASHINGTON, D. C. 20036

TELEPHONE
202 452-9700

CABLE ADDRESS
"CHECCHI"
TELEX 440157

October 24, 1975

Dear Librarian:

If you haven't yet returned the questionnaire we sent you last month in connection with our study of regional interlibrary loan in New York State, may we ask again for your cooperation in this endeavor? It is very important that the State base its plans for the future funding of interlibrary loan services on real, rather than presumed , information. Only you can supply us with that information.

Another copy of the questionnaire, and an envelope for its return, are enclosed. Please take some time today to record the data and opinions about your library's interlibrary loan experience.

Thank you for your attention to this matter. It most certainly will help shape the kind of interlibrary loan service you are able to obtain for your patrons in the future.

Sincerely,

Eugene Vorhies

Eugene Vorhies, Jr.
Project Director

Checchi and Company
1730 Rhode Island Avenue, N.W.
Washington, D.C. 20036

September 1975

REGIONAL INTERLIBRARY LOAN IN THE STATE OF NEW YORK

Definition of Terms:

Interlibrary Loan:	For purposes of this study, an interlibrary loan is any request which demands processing as an interlibrary loan by both the initiating and the lending institution or library system.
Bibliographic Center:	Any facility organized by the 3R System as a vehicle for communication, coordination and processing interlibrary loan requests on a regional basis.

NAME OF LIBRARY OR LIBRARY SYSTEM: ____________________

NAME OF PERSON COMPLETING THIS QUESTIONNAIRE: ____________________

TELEPHONE NUMBER AT WHICH THIS PERSON MAY BE REACHED: ____________________

1. Did your library (or library system) submit any interlibrary loan requests to other libraries (or library systems) in 1974? (Consider your use of resources outside New York as well as within the State.)

☐ YES

☐ NO

IF YOU DID NOT MAKE ANY REQUESTS FOR INTERLIBRARY LOAN IN 1974, YOU MAY IGNORE THE REST OF THE QUESTIONNAIRE. RETURN IT WITH THE INFORMATION REQUESTED ABOVE. IF YOU DID MAKE ANY REQUESTS FOR INTERLIBRARY LOAN IN 1974, PLEASE COMPLETE THE REST OF THE QUESTIONNAIRE.

2. We need to establish the number of interlibrary loan requests that your library (or library system) generates for filling outside your library (or library system). We would appreciate your assistance in this task by providing us with the following statistics from your files:

A. For Academic and Special Libraries:

Total interlibrary loan requests generated by your patrons during 1974 which you attempted to fill by borrowing or securing photocopies from other libraries:

TOTAL 1974 ____________________

(☐ calendar year or ☐ fiscal year from __________ to __________. Check one)

B. For Public Library Systems:

Total interlibrary loan requests generated by your member libraries during 1974 which you attempted to fill by borrowing or securing photocopies from libraries outside of your public library system:

TOTAL 1974 ____________________

(☐ calendar year or ☐ fiscal year from __________ to __________. Check one)

C. For Both Academic and Special Libraries, and Public Library Systems:

Of the total shown above for 1974, please detail the number of requests which were referred to the following locations (or, if this information is not available from your files, please estimate the approximate percentage referred to these locations):

Actual number:	OR	Approximate percentage:
Referred directly to other libraries within your 3R region	__________	__________%
Referred directly to NYSILL	__________	__________%
Referred directly to libraries outside your 3R region (and not NYSILL referral libraries)	__________	__________%
Referred directly to the 3R interlibrary loan center for processing within the region	__________	__________%

3A. If you ever refer requests directly to other libraries in your 3R region without going through the 3R interlibrary loan center, please indicate under what circumstances this is done (e.g., for special collections, because of a Union List of Serials, for reasons of speed, efficiency, etc.).

____

____

____

B. If you borrow directly from one or two other libraries in your region to a major extent, please identify those libraries:

____

____

3C. If you ever refer requests directly to NYSILL without going through the 3R interlibrary loan center, please indicate the circumstances under which you would usually do this.

____

____

____

____

3D. If you ever refer requests directly to other libraries or library systems outside your 3R region and not part of the NYSILL referral network, please indicate the circumstances under which you would usually do this (e.g., in order to access special interlibrary loan networks such as the Regional Medical Library network).

____

____

____

____

4. Do you feel there are ways in which interlibrary loan within your 3R region could be improved through attitudinal, procedural or other changes to present practices that would not entail significant cost (i.e., more than $1,000 per year) to implement?

☐ Don't Know

☐ No

☐ Yes, I think the following change(s) should be instituted by the 3R interlibrary loan center:____________________

____

____

☐ Yes, I think the following change(s) should be instituted by all the member libraries in this 3R region:____________________

____

____

☐ Yes, certain member libraries in this 3R region need to make change(s) to better facilitate interlibrary loan in the region: (please specify the library and the change)____________________

____

____

5. Do you feel there are ways in which interlibrary loan between your 3R region, the State Library and the NYSILL referral libraries could be improved through attitudinal, procedural or other changes to present practices?

☐ Don't Know

☐ No

☐ Yes, I think the following change(s) in the way the 3R interlibrary loan center accesses NYSILL should be instituted: ________

____

____

____

☐ Yes, I think the following change(s) in the NYSILL practices and procedures should be instituted by the State: ________________

____

____

____

6. If your 3R council were to receive additional funds from the State to support interlibrary loan within your 3R Region, how do you think such funds would best be used?

☐ Don't Know

☐ Here are my suggestions, listed in decending order of priority:

____

____

____

____

____

____

____

____

____

____

7. Please indicate any data banks to which your library (or library system) itself has direct access:

☐ OCLC
☐ Medlars
☐ Medline
☐ AVline
☐ BMC
☐ ERIC
☐ Serline
☐ Toxline
☐ Other data banks
(Please list) ____________________

____

____

____

THIS COMPLETES THE QUESTIONNAIRE. THANK YOU FOR YOUR COOPERATION IN COMPLETING IT.

The analysis of the responses to the member library questionnaire provided the bases for the description of the volume and patterns of regional interlibrary loan that is presented in Part Two of this report. The suggestions of member library librarians regarding improvements in regional interlibrary loan services are reproduced as they were submitted in the recommendations section of Part Four.

TELEPHONE SURVEY OF INTERLIBRARY LOAN PATRONS

A telephone survey of a sample of patrons whose requests for materials had generated regional interlibrary loan activity in the five regions under study was used to collect information on patrons' uses of and reactions to interlibrary loan services. This information provided the basis for the analysis of patron satisfaction as one measure of effectiveness of regional interlibrary loan.

Twenty telephone interviews were completed for each of the five 3 R's regions under study, resulting in a total sample of 100 patron interviews. Prospective respondents were selected from the files of the 1,480 interlibrary loan requests drawn in the loan request sample. Two qualifications regarding the randomness of the patron survey should be stated. First, the ability to maintain a completely random nature in the survey was hampered considerably by the lack of telephone numbers for patrons. Second, random selection of patrons was in several instances sacrificed in an attempt to achieve a representative distribution over variables such as patron status and type of library initiating the loan request.

A copy of the interview form employed in the telephone interviews of patrons is presented in Exhibit A-5. Part One of the instrument was completed prior to contacting the patron, using data from the request sample form. Part Two of the patron survey entailed two series of open-ended and structured questions. The first series of three questions concerned the specific request identified in Part One. The second series of eight questions concerned the respondent's general experience with interlibrary loan.

The patron telephone survey was conducted by two survey research specialists over a two week period in October, 1975. Upon making telephone contact, the patron to be interviewed was given general information concerning the purpose of the study, informed of the manner in which he/she was selected, and asked to answer a few questions about the use of interlibrary loan. If the respondent found the time inconvenient for conducting the interview, he/she was asked to specify a more convenient time. The patron was also given the opportunity to refuse participation in the survey but in no instance did a patron refuse to participate. Before proceeding, the interviewer reviewed information from Part One of the instrument to help the patron recall the specific request that we had

EXHIBIT A-5

PATRON TELEPHONE SURVEY FORM

Telephone Survey Case ID Number: ☐☐☐

PART ONE: The following information is to be transcribed from each coding form drawn from the interlibrary loan request sample for the telephone survey.

Requestor: ______________________________ **ID #** ☐☐☐☐☐
(last name) *(first name)*

Telephone: ____________________

Type of Request:
- ☐ Book
- ☐ Periodical
- ☐ Thesis

Patron Status:
- ☐ Faculty
- ☐ Student
- ☐ Business or Professional
- ☐ Other

Author: ____
(last name) *(first name)* *(initial)*

Title: ____

Citation: ____

____
(If periodical: title, volume, issue, year)
(If book: publisher, place published, year)

Requesting Library: ______________________________________

Filling Library: ______________________________________

Date of Request: __________________

Date of Delivery or
Notification of Non-Fill: __________________

Total Elapsed Time: ____**Days**

- ☐ **Filled**
- ☐ **Not Filled**

PART TWO: Telephone Call

Begin by giving the respondent the following information:

"New York State is conducting a study of interlibrary loan service for various categories of library patron. A recent sample of interlibrary loan requests submitted at public, academic and special libraries in the State showed that you recently attempted to borrow a book or journal using interlibrary loan. We would like to ask you a few questions about that particular request, and about your general use of interlibrary loan. The information you supply will help the State of New York improve the library service it provides for its residents."

"Do you have time now to answer the questions?" (If the respondent doesn't have time, ask when it would be most convenient to re-call. If the respondent doesn't want to participate in the survey, check here ☐ and thank the respondent anyway.)

Before you proceed with the questions below, review some information in PART ONE with the respondent to refresh her/his memory about the request -- title of book or article, originating library, and final status of the request.

Proceed with the questions below.

A. QUESTIONS CONCERNING THE REQUEST IDENTIFIED IN PART ONE

1. Please describe the reason you sought this item from your library. Check one and give the details below:

Academic Research (professional)

Degree Requirement (level:____________________)

Academic Research (student: undergraduate graduate)

Professional/Business Work

Personal Interest

Other:____

Details amplifying on the above, if necessary:________________

____

____

2. Did you actually use the book/article after you received it?

NO ☐

If NO: Why was that?

☐ Received item too late

☐ Need for item no longer existed

☐ Item located elsewhere after request was submitted

☐ Other: ______________________________

YES ☐

If YES: Was the book/article you borrowed very useful, moderately useful, or not useful at all in terms of your expectations at the time you made the request?

☐ Very Useful

☐ Moderately Useful

☐ Not Useful At All

3. Were you satisfied with the handling of this particular interlibrary loan?

YES ☐

NO ☐

If NO: Why? ______________________________

____

B. QUESTIONS CONCERNING THE RESPONDENT'S GENERAL EXPERIENCE WITH INTERLIBRARY LOAN

4. About how many items (i.e., books, copies of journal articles, etc.) did you obtain through interlibrary loan in the last twelve months?

About __________ items.

5. **Does it seem to you that you usually receive the material you request on interlibrary loan, or is it more common for your request to go unfilled?**

☐ **It seems to me that most of the time I do get the material.**

☐ **It seems to me that most of the time I do not get the material.**

6. Have you encountered difficulties in trying to borrow material on interlibrary loan?

☐ NO

☐ YES

If YES: What kind(s) of difficulty have you encountered? ________

____

____

7. Does it seem to you that you receive interlibrary loan materials quickly, does it take too long for the materials to arrive, or is the speed of interlibrary loan about what you expect?

☐ It is quick.

☐ It is slow.

☐ It is about what I expect. Neither especially fast nor unusually slow.

8. When you receive a negative response to an interlibrary loan request, do you have any other options for obtaining the material?

☐ NO

☐ YES

If YES, what are the other options? ____________________

____

9. Do you have to pay any fee or service charge for interlibrary loan?

☐ NO

☐ YES

If YES, how much do you usually have to pay? ____________________

Do you feel that this amount is reasonable? ☐ YES ☐ NO

10. What is your occupational field? (If student: what is your intended career field?) (If faculty: what is your subject area?)

____

11. What is the highest academic degree you now hold?

- ___ Doctorate (PhD, EdD, ScD, etc.)
- ___ Master's in arts and sciences
- ___ Professional degree (MD, LLB, MAT, MBA, etc.)
- ___ Bachelor's degree
- ___ Associate or community college diploma
- ___ High school diploma
- ___ None of the above

THIS IS THE END OF THE TELEPHONE SURVEY. THANK YOU FOR YOUR COOPERATION.

drawn from the sample of requests. The title of the material requested, the author and the library at which the request had been submitted were offered as refresher information. In addition, the final status of the request -- i.e., either filled or not filled -- was verified with the patron.

The average interview involved a five- to ten-minute phone conversation. If the patron was particularly responsive and interested in extending the discussion beyond the eleven questions, he was asked to provide us with suggestions for the improvement of interlibrary loan services.

APPENDIX B

INDIVIDUAL PROFILES OF THE 3 R'S REGIONS IN NEW YORK STATE

WESTERN NEW YORK 3 R'S REGION

The Western New York Library Resources Council (WNYLRC) was chartered by the Board of Regents on December 17, 1971.* It is composed of three public library systems, 25 academic libraries and 27 special libraries. These are identified in Exhibit B-1, which also distinguishes between the Council's voting and its non-voting members. The three public library systems in the region serve 75 individual public libraries.

Demography

The Council services the six far western counties of Chautauqua, Cattaraugus, Erie, Genesee, Niagara, and Orleans--an area of 4,886 square miles (10.5 percent of the State's's total land area) containing, in 1970, a population of 1,674,208 persons or 9.5 percent of the State total. The age of the population is fairly young: twenty-seven percent of the people are under age 14 and 11 percent are over 64. Nearly 94 percent of the high school aged population is actually enrolled in high school while 3.7 percent of the regional population is enrolled in college. The average adult has completed 12 years of schooling.

This region encompasses a relatively large amount of industrial and related activity with 62 percent of the region classified as urban. Forty-four percent of the civilian labor force are white collar workers, 34 percent are employed in research or development-oriented industries, and 14 percent are professional, technical, or kindred workers.

Median family income for this region is $10,049, with seven percent of the regional population classified as under the poverty level** and 20 percent as having median family incomes of over $15,000 per year.

Exhibit B-2 presents selected demographic characteristics for the Western New York 3 R's region.

Library Resources

Public libraries in this region contain 4,253,658 volumes (2,620,104 are adult non-fiction, 719,672 adult fiction, and 913,882 juvenile), 50,268 serials and 110,855 non-print materials. These libraries spent $1,523,997 in 1972-73 on library materials, and were staffed by the full-time equivalent of 298 professionals and 652 non-professionals.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-1

MEMBER LIBRARIES: WESTERN NEW YORK 3 R'S REGION**

Public Colleges and Universities
- The State University of New York
  - University Centers
    - * Buffalo
      - Lockwood Library
      - Sears Law Library
      - Science and Engineering Library
  - University Colleges
    - * Buffalo
    - * Fredonia
  - Health Sciences Centers
    - * Buffalo Health Sciences Center
  - Two-Year Colleges
  - Community Colleges
    - * Erie
      - North Campus
      - City Campus
      - South Campus
    - * Genesee
    - * Jamestown
    - * Niagara County

Private Colleges and Universities
- College Complexes
  - * Canisius College
  - * D'Youville College
  - * Niagara University
  - * St. Bonaventure University
- Colleges
  - * Medaille College
  - * Rosary Hill College
  - * Houghton College
- Two-Year Colleges
- General Programs
  - * Hilbert College
  - * Trocaire College
  - * Villa Maria College of Buffalo
  - * Educational Opportunity Center/SUNYAB
  - * West Seneca Development and Children's Psychiatric Center
  - * Christ the King Seminary

Public Library Systems
- *Nioga
- *Buffalo and Erie County
- *Chautauqua-Cattaraugus

Special Libraries
- *Albright - Knox Art Gallery
- *Buffalo and Erie County Historical Society
- *Buffalo General Hospital
  - Aaron Medical Library
  - School of Nursing Library
- *Buffalo Museum of Science
- *Children's Hospital
- *Edward J. Meyer Memorial Hospital
- *Roswell Park Memorial Institute
- Acres American Incorporated
- Airco Speer
- Allied Chemical Corporation
- Andco Incorporated
- Bell Aerospace Company
- Calspan Corporation
- Carborundum Company
- FMC Corporation
- Hooker Chemical Company
- Lucidol Division, Pennwalt Corporation
- Marine Midland Services Corporation
- Moore Business Forms
- NL Industries, Inc.
- Sierra Research Corporation
- Spencer Kellogg
- Union Carbide Corporation
  - Linde Division
  - Mining and Metals Division
- Worthington Compressors, Incorporated
- Dresser Industries, Incorporated

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* Indicates voting members.

** As of June, 1975.

EXHIBIT B-2

SELECTED DEMOGRAPHIC CHARACTERISTICS: WESTERN NEW YORK 3 R'S REGION

WESTERN NEW YORK
3R'S REGION

Population	1,674,208
Regional share of state total	9.2%
Land area (square miles)	4,886
Regional share of state total	10.2%
Population density (pop./sq. mile)	343
Percent urban population	62.0%
Percent age 13 or less	27.3%
Percent age 65 or more	10.7%
High school enrollment as percent of pop. aged 14 - 17	93.8%
College enrollment as percent of regional population	3.7%
Median years of schooling completed	12.0
Professional, technical, and kindred workers	91,016
Percent of civilian labor force	13.9%
White collar workers	289,166
Percent of civilian labor force	44.2%
Weighted *employment in R & D oriented industries	224,209
Percent of civilian labor force	34.3%
Median family income	$10,049
Percent under poverty level	7.0%
Percent of pop, with $15,000 or more median family income	20.1%

*Weighted by the propensity of individual industries to undertake research and development.

Academic libraries in the region contain a total of 3,351,938 monographs and 41,275 serials. They spent $2,080,301 for library materials in 1972-73 and are staffed by 203 professionals and 268 non-professionals.

Thirty-four special libraries in the region contain 633,428 volumes. The eight special libraries which reported their annual expenditures spent a total of $172,721 on library materials in 1972-73.

Exhibit B-3 presents selected library resources measures for the Western New York 3 R's region.

3 R's Bibliographic Center

The WNYLRC offices are located in the central library building of the Buffalo and Erie County Public Library System. This office, with four full-time staff members, acts as a clearinghouse and switching agent for all 3 R's interlibrary loan activity. The office staff refers interlibrary loan requests to one or both of the contracted regional resource libraries -- the Buffalo and Erie County Public Library and SUNY at Buffalo -- and reports results to the borrowing library. Interlibrary loan materials are delivered and picked up daily under an arangement with the United Parcel Service. The WNYLRC has a Union List of Serials and has been in the process over a number of years of establishing a Union Catalog.

Regional Composite Indices

A number of composite indices for the Western New York 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1000 Population
44.6	61.6	4.98	$2.26	.85

EXHIBIT B-3

SELECTED LIBRARY RESOURCES MEASURES: WESTERN NEW YORK 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	4,253,658	50,268	110,865	2,620,104	719,672	913,882	$1,189,352	$83,733	$250,912	298.3	652.4	75
Academic Libraries	3,351,938	41,275	---	---	---	---	$1,752,888	$52,657	$274,756	202.7	268.05	24
Special Libraries	633,428	---	---	---	---	---	(--	$172,721*	--)	---	---	34
TOTAL	8,239,024											

* Total expenditures for eight reporting special libraries.

ROCHESTER 3 R'S REGION

The Rochester Regional Research Library Council (RRRLC) was chartered by the Board of Regents on September 24, 1971.* It is composed of one public library system, 14 academic libraries and 24 special libraries. These are identified in Exhibit B-4, which also distinguishes between the Council's voting and its non-voting members. The five county public library systems in the region serve 59 individual public libraries.

Demography

The Council services five counties -- Monroe, Livingston, Wyoming, Wayne and Ontario -- an area of 3,168 square miles (6.6 percent of the State's total land area) containing, in 1970, a population of 961,899 persons or 5.3 percent of the State's total. Its population density of 304 persons per square mile makes it one of the more densely populated regions even though only 43 percent of this region is classified as urban.

Of the total high school aged population, 92 percent are actually enrolled in school while 4.4 percent of the total regional population -- highest in the State -- are enrolled in postsecondary educational institutions. Nearly 28 percent of the population is 13 years of age or younger, while ten percent are over the age of 65. The average adult has completed 12 years of school.

Of the total civilian labor force, 48 percent are white collar workers, 17 percent are professional, technical, or kindred workers, and a very high 39 percent are employed in research and development industries.

A very low five percent of the regional population are under the poverty level** while a high 30 percent have median family incomes of over $15,000 per year. Median family income for the entire region is $11,903, the second highest of any region in the State.

Exhibit B-5 presents selected demographic characteristics for the Rochester 3 R's region.

Library Resources

The public libraries in this region contain a total of 1,947,367 books (955,536 adult non-fiction, 439,797 adult fiction, and 552,034 juvenile), 29,711 serials, and 123,920 non-print materials--annual expenditures in 1972-73 were $811,563. They are staffed by the equivalent of 181 full-time professionals and 332 non-professionals.

---

* Date of absolute charter.

** As defined by the Bureau of the Census.

Exhibit B-4

MEMBER LIBRARIES: ROCHESTER 3 R'S REGION***

Public Colleges and Universities
- The State University of New York
  - University Colleges
    - * Brockport
    - * Geneseo
  - Two-Year Colleges
  - Community Colleges
    - Community College of the Finger Lakes
    - * Monroe

Private Colleges and Universities
- Multiversities
  - * University of Rochester
    - Rush Rhees
    - Miner
    - Sibley Music
- College Complexes
  - * Hobart and William Smith Colleges (The Colleges of the Seneca)
- Colleges
  - * Nazareth College
  - * Roberts Wesleyan College
  - * St. John Fisher College
- Engineering and Technical Schools
  - * Rochester Institute of Technology
- Seminaries and Religious Training Colleges
  - * Colgate Rochester Divinity School
  - * St. Bernard's Seminary

Public Library Systems**
- *Pioneer

Special Libraries
- *Rochester Museum and Science Center
- *Margaret Woodbury Strong Museum
- Bausch and Lomb, Inc.
- Convalescent Hosptal for Children
- Eastman Kodak Company
  - Business Library
  - Engineering Division Library
  - Health and Safety Department Library
  - Photographic Technology Library
  - Research Laboratories Library
- Mobil Chemical Company
- Pennwalt Corporation
- R.T. French Company
- Sybron Corporation
  - Pfaudler Division
  - Taylor Process Control Division
- Xerox Corporation
  - Technical Information Center
  - Xerox Library Services
  - Henrietta Library
- Stromberg Carlson Corporation
- St. Mary's Hospital
- Rochester General Hospital
- Genesee Hospital
- Highland Hospital
- Lincoln First Bank of Rochester
- Mixing Equipment Company

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* Indicates voting members.

** Livingston, Monroe, Ontario, Wayne and Wyoming County Library Systems are also voting mmbers.

*** As of 1974.

EXHIBIT B-5

SELECTED DEMOGRAPHIC CHARACTERISTICS: ROCHESTER 3 R'S REGION

ROCHESTER
3R'S REGION

Population	961,899
Regional share of state total	5.3%
Land area (square miles)	3,168
Regional share of state total	6.6%
Population density (pop./sq. mile)	304
Percent urban population	42.6%
Percent age 13 or less	27.7%
Percent age 65 or more	10.1%
High school enrollment as percent of pop. aged 14 - 17	92.3%
College enrollment as percent of regional population	4.4%
Median years of schooling completed	12.0
Professional, technical, and kindred workers	69,026
Percent of civilian labor force	17.2%
White collar workers	193,909
Percent of civilian labor force	48.5%
Weighted* employment in R & D oriented industries	155,297
Percent of civilian labor force	38.8%
Median family income	$11,903
Percent under poverty level	5.2%
Percent of pop, with $15,000 or more median family income	30.4%

*Weighted by the propensity of individual industries to undertake research and development.

Academic libraries in this region hold a total of 2,646,438 monograph titles and 25,193 serial titles. These libraries are staffed by the full-time equivalent of 145 professional and 228 non-professional staff members. Their annual expenditures for library materials in 1972-73 were approximately $2.1 million.

The region's 40 special libraries house a book stock of 525,404 titles. The 19 special libraries reporting their annual expenditures for library materials spent $113,350 during 1972-73.

Exhibit B-6 presents selected library resources measures for the Rochester 3 R's region.

3 R's Bibliographic Center

The RRRLC offices are located in the Rochester Institute of Technology Metropolitan Center in Rochester. Its staff consists of a full-time executive director, a professional assistant and one secretary. The Council's interlibrary loan services are carried out by two regional resource libraries. The University of Rochester holds a contract with the State Education Department to supply books and photocopied materials to participating libraries. RRRLC itself contracts directly for additional interlibrary loan services from the Rochester Public Library. Monograph requests not available from these two libraries are searched in the region by means of a "Want List," which is circulated daily by the Rochester Public Library to all area libraries willing to loan to others.

The third edition of the region's Union List of Serials was recently completed. A new literature search service, TABI (Technical and Business Information), was recently initiated. It provides free-lance literature searches on a fee basis, with RRRLC acting as a referral center to bring customer and searcher together. A similar service is provided for translations through customer referrals to free lance translators.

Regional Composite Indices

A number of composite indices for the Rochester 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
38.6	49.1	5.38	$3.12	.92

EXHIBIT B-6

SELECTED LIBRARY RESOURCES MEASURES: ROCHESTER 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	1,947,367	29,711	123,920	955,536	439,797	552,034	$608,603	$127,968	$74,992	180.6	332.1	59
Academic Libraries	2,646,438	29,969	---	---	---	---	$1,746,261	$30,401	$294,713	145.03	228.27	12
Special Libraries	525,404	---	---	---	---	---	(--	$113,349*	--)	---	---	40
TOTAL	5,119,209											

* Total expenditures for 19 reporting special libraries.

NORTH COUNTRY 3 R'S REGION

The North Country Reference and Research Resources Council was chartered by the Board of Regents on February 28, 1969.* It is composed of two public library systems, 13 academic libraries and 11 special libraries. These are identified in Exhibit B-7, which also distinguishes between the Council's voting and its non-voting members. The two public library systems in the region serve 86 individual public libraries.

Demography

The North Country region encompasses the largest amount of land area -- 10,873 square miles -- and the smallest number of persons -- 476,536 in 1970 -- of any of the nine regions. Population density is a relatively low 44 persons per square mile.

Twenty-nine percent of the population is under the age of 13, while ten percent is 65 years of age or older. Ninety-three percent of the high school aged population is enrolled in school, with the average adult having completed 11.7 years of school. Slightly more than four percent of the total regional population is enrolled in college.

This region is the least urbanized (only 34 percent) and has the lowest median family income ($8,595) of any of the nine regions. Consequently, over ten percent of the population is under the poverty level** and as few as 13 percent of the families have an income over $15,000 per year.

The North Country region also has the lowest percentage of white collar workers in the labor force (13 percent), the lowest percent of professional, technical, or kindred workers (39 percent), and the lowest percentage of persons employed in research and development oriented industries (11 percent) of any of the nine regions.

Exhibit B-8 presents selected demographic characteristics for the North Country 3 R's region.

Library Resources

This region has public libraries containing a total of 1,289,510 volumes (533,728 adult non-fiction, 388,071 adult fiction, and 317,711 juvenile), 70,771 serials titles, and 27,174 non-print materials. These libraries spent $387,876 in 1972-73 on library materials, and were staffed with 42 full-time professional and 138 non-professional persons.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-7

MEMBER LIBRARIES: NORTH COUNTRY 3 R'S REGION***

Public Colleges and Universities
- State University of New York
  - University Colleges
    - * Oswego
    - * Plattsburgh
    - * Potsdam
  - Two-Year Colleges
  - Agricultural and Technical College
    - * Canton
  - Community Colleges
    - * Clinton
    - * Jefferson
    - * North Country

Private Colleges and Universities
- College Complexes
  - * St. Lawrence University
- Engineering and Technical Schools
  - * Clarkson College of Technology
- Seminaries and Religious Training Colleges
  - * Wadhams Hall
- Two-Year Colleges
- General Programs
  - * Mater Dei College
- Specialized
  - * Paul Smith's College of Arts and Sciences Regional Resource Center

Public Library Systems**
- *Clinton-Essex-Franklin
- *North Country

Special Libraries
- *Adirondack Museum
- *W. Alton Jones Cell Science Center
- *Will Rogers Hospital
- A. Barton Hepburn Medical Library
- Ayerst Science Laboratory
- Trudeau Institute
- Champlain Valley Physicians Hospital Medical Center
- Essex County Historical Center
- George Hall Corporation
- Huntington Wildlife Forest Station
- St. Lawrence Hospital

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* Indicates voting members.

** In addition, seven public libraries and the Lake Ontario Regional Library System (Canada) are members of this Council.

*** As of 1974.

EXHIBIT B-8

SELECTED DEMOGRAPHIC CHARACTERISTICS: NORTH COUNTRY 3 R'S REGION

NORTH COUNTRY
3 R'S REGION

Population	476,536
Regional share of state total	2.6%
Land area (square miles)	10,873
Regional share of state total	22.7%
Population density (pop./sq. mile)	44
Percent urban population	34.4%
Percent age 13 or less	28.9%
Percent age 65 or more	10.5%
High school enrollment as percent of pop. aged 14 - 17	92.9%
College enrollment as percent of regional population	4.1%
Median years of schooling completed	11.7
Professional, technical, and kindred workers	21,944
Percent of civilian labor force	13.1%
White collar workers	64,652
Percent of civilian labor force	38.6%
Weighted* employment in R & D oriented industries	18,942
Percent of civilian labor force	11.3%
Median family income	$8,595
Percent under poverty level	10.5%
Percent of pop, with $15,000 or more median family income	13.1%

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*Weighted by the propensity of individual industries to undertake research and development.

The academic libraries in the North Country region contain 1,311,667 volumes and 19,321 serials. They spent $893,936 in 1972-73 on library materials and were staffed by the equivalent of 80 professionals and 108 non-professional during that year.

The 14 special libraries in the region have a book stock of over 70,000 volumes. Eight of these libraries, who reported their expenditures, spent $50,650 for library materials during 1972-73.

Exhibit B-9 presents selected library resources measures for the North Country 3 R's region.

3 R's Bibliographic Center

The North Country 3 R's Council, with offices adjacent to the library on the Saint Lawrence University campus acts as a bibliographic center and borrowing agent for member libraries within the region. All interlibrary loan activity in this region is processed by the 3 R's Council headquarters, and reportedly no direct borrowing occurs between member libraries.

Council staff, utilizing an updated Union List of Serials, attempt to locate serial requests within the region. Once a location is identified, the staff teletypes or telephones the potential lending library to arrange for the item to be photocopied and forwarded directly to the borrowing institution.

All monograph requests received at the bibliographic center are first searched in the St. Lawrence University card catalog, in which the card catalogs of the SUNY Agricultural and Technical College at Canton, SUNY College at Potsdam, and the Clarkson College of Technology are interfiled. If this initial search does not indicate a location, the SUNY at Plattsburgh main entry catalog, available at the Council office, is searched. Based upon the staff's knowledge of regional resources and the subject strengths of member library collections, the Council staff may also make an educated guess concerning the ownership of a still unlocated request. Inquiries to potential lending institutions are again made by teletype or telephone. The Council staff makes arrangements for all within-region loans, by either teletype or telephone, which are then sent directly to the borrowing institution by the lending library.

EXHIBIT B-9

SELECTED LIBRARY RESOURCES MEASURES: NORTH COUNTRY 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	1,239,510	70,771	27,174	533,728	388,071	317,711	$308,883	$51,897	$27,096	41.8	138.3	86
Academic Libraries	1,311,667	19,321	---	---	---	---	$562,685	$31,997	$299,254	79.5	107.9	12
Special Libraries	70,001	---	---	---	---	---	(---	$50,650*	---)	---	---	14
TOTAL	2,621,178											

* Total expenditures for eight reporting special libraries.

The North Country 3 R's Council also circulates a short "Want List" to the smaller member libraries, the Capital District Library Council, Hamilton College, and the Nassau Public Library System.

Both monograph and serial items which are not available within the region are referred to the State Library for filling or referral in the NYSILL network. No library within the North Country 3 R's region has direct teletype access to the State Library. The bibliographic center keeps member libraries up to date on the status of their State Library and NYSILL referrals.

The North Country 3 R's Council normally does not make arrangements for loans from libraries outside the region. However, it will identify potential lenders from extra-regional union lists, or from OCLC information.

The North Country 3 R's Council also provides a delivery service to seven locations, including the four major colleges, the 3 R's Council headquarters, and the two public library system headquarters, the latter on a "call-stop" basis.

Regional Composite Indices

A number of composite indices for the North Country 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
44.3	43.1	5.69	$2.80	.77

CENTRAL NEW YORK 3 R'S REGION

The Central New York Reference and Resources Council was chartered by the Board of Regents on March 24, 1973.* It is composed of two public library systems, 16 academic libraries and 14 special libraries. These are identified in Exhibit B-10, which also distinguishes between the Council's voting and its non-voting members. The two public library systems in the region serve 60 individual public libraries.

Demography

The Council services a population of 876,280 (in 1970) and encompasses a land area of 4,112 square miles including the counties of Onondaga, Oneida, Madison, and Herkimer.

The region has a large urban population (68 percent) with 49 percent of its civilian labor force classified as white collar workers, 16 percent as professional, technical, or kindred workers, and a very high 41 percent (ranked first among all regions) employed in research and development-oriented industries.

Twenty-seven percent of the population is under the age of 14, while slightly over 10 percent are 65 years of age or older. Of the high school aged population, 95 percent are actually enrolled in school while four percent of the total regional population are enrolled in postsecondary educational institutions. The average adult has completed 12 years of education.

Median family income is $10,324, with nearly seven percent of the population under the poverty level** and almost 22 percent of the families earning over $15,000 per annum.

Exhibit B-11 presents selected demographic characteristics for the Central New York 3 R's region.

Library Resources

The public libraries in this region contain 1,650,260 books (811,934 adult-non fiction, 367,497 adult fiction, and 470,829 juvenile) 43,847 serials, and 70,734 non-print materials. Their expenditures for library materials were $717,700 in 1972-73. They were staffed by 149 professionals and 224 non-professionals.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-10

MEMBER LIBRARIES: CENTRAL NEW YORK 3 R'S REGION***

- Public Colleges and Universities
  - The State University of New York
    - University Colleges
      - * Utica-Rome
    - Health Sciences Centers
      - * Upstate Medical Center
    - Specialized Colleges
      - Environmental Sciences and Forestry
    - Two-Year Colleges
    - Agricultural and Technical Colleges
      - * Morrisville
    - Community Colleges
      - * Herkimer County
      - * Mohawk Valley
      - * Onondaga
- Private Colleges and Universities
  - Multiversities
    - * Syracuse University
      - * Research Corporation
  - College Complexes
    - * Colgate University
    - * Hamilton and Kirkland Colleges
    - * LeMoyne College
  - Colleges
    - * Utica College
  - Two-Year Colleges
  - General Programs
    - * Cazenovia College
    - * Maria Regina College
    - * Educational Opportunity Center of SUNY

- Public Library Systems**
  - * Onondaga
  - * Mid-York
- Special Libraries
  - *American Foundation for Management Research
  - *Canal Museum
  - *Masonic Medical Research Laboratory
  - *Community General Hospital of Greater Syracuse
  - *Crouse Irving Memorial Hospital
  - *Munson-Williams Proctor Institute
  - *St. Joseph's Hospital
  - Agway Incorporated
  - Bristol Laboratories
  - Carrier Corporation
  - General Electric Company
  - Rome Air Development Center
  - Special Metals Corporation
  - U.S. Veterans Administration Hospital

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* Indicates voting members.

** In addition, two public libraries are voting members of this Council.

*** As of 1974.

EXHIBIT B-11

SELECTED DEMOGRAPHIC CHARACTERISTICS: CENTRAL NEW YORK 3 R'S REGION

Population	876,280
Regional share of state total	4.8%
Land area (square miles)	4,113
Regional share of state total	8.6%
Population density (pop./sq. mile)	213
Percent urban population	68.2%
Percent age 13 or less	26.9%
Percent age 65 or more	10.5%
High school enrollment as percent of pop. aged 14 - 17	94.7%
College enrollment as percent of regional population	4.0%
Median years of schooling completed	12.0%
Professional, technical, and kindred workers	56,446
Percent of civilian labor force	16.2%
White collar workers	171,264
Percent of civilian labor force	49.2%
Weighted* employment in R & D oriented industries	143,814
Percent of civilian labor force	41.3%
Median family income	$10,324
Percent under poverty level	6.9%
Percent of pop, with $15,000 or more median family income	21.5%

*Weighted by the propensity of individual industries to undertake research and development.

The region's academic libraries house a total book stock of 2,746,871 and 37,520 serial titles. These libraries spent $1,640,000 in 1972-73 for library materials, and were staffed by the equivalent of 113 full-time professionals and 267 non-professionals.

The 34 special libraries in the region contain 382,546 titles. The 12 special libraries reporting expenditures spent $104,574 in 1972-73 for library materials.

Exhibit B-12 presents selected library resources measures for the Central New York 3 R's region.

3 R's Bibliographic Center

The Central New York 3 R's Council maintains offices in downtown Syracuse, and two bibliographic centers -- one at Hamilton College in Clinton and the other at Syracuse University. The main bibliographic center at Hamilton College handles requests at the undergraduate and general level, while the Syracuse University center is being developed into a graduate and research level bibliographic center. At the present time, however, it only provides loan services through the Hamilton College bibliographic center. The main bibliographic center provides a limited number of reference, literature search and other bibliographic services, and also acts as a borrowing agent in facilitating interlibrary loan.

The majority of member libraries within the region deal directly with each other for both monograph and serial requests. The Hamilton College bibliographic center provides a search service for those items which cannot be located within the region by member libraries, serves as a State Library transmission site, and acts as a screen for monograph requests which would otherwise be referred to Syracuse University. (Member libraries may deal directly with Syracuse University for serial requests.)

The bibliographic center searches a number of monograph holdings information sources in the following order: (1) the Hamilton and Kirkland Colleges card catalog, (2) the combined card catalogs of Colgate University, Utica College, and the Masonic Medical Research Library, (3) the Syracuse University collection using the computer access to its on-line shelf list, (4) special subject libraries, (5) OCLC and (6) the National Union Catalog. Serial requests are searched in the region's Union List of Serials , the Hamilton College Union List Serials, and extra-regional union lists. The bibliographic center also teletypes a list of public library requests to each of the public library system headquarters on a daily basis.

EXHIBIT B-12

SELECTED LIBRARY RESOURCES MEASURES: CENTRAL NEW YORK 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	1,650,260	43,847	70,734	811,934	367,497	470,829	$613,375	$53,984	$50,343	148.7	223.5	60
Academic Libraries	2,746,871	37,520	---	---	---	---	$1,108,695	$83,543	$447,470	113.63	267.13	16
Special Libraries	382,546	---	---	---	---	---	(--	$104,573*	--)	---	---	34
TOTAL	4,779,677											

* Total expenditures for 12 reporting special libraries.

Once a lending location has been identified, the bibliographic center will call the holding library to determine the availability of the item and to make arrangements for the item to be sent directly to the borrowing institution. All further matters regarding the loan are taken care of by the borrowing and lending libraries.

Requested items which are not located within the region are referred to the State Library if so requested by the requesting library. Syracuse University and the Upstate Medical Center have direct teletype access to the State Library, but all other member libraries, including the public library systems, must refer their requests to the bibliographic center for transmission to the State Library.

The Central New York 3 R's Council reimburses Syracuse University and Hamilton College on contract bases for the interlibrary loan services which they perform for the Council. These contract fees cover staff time, materials, data base access, etc. The Council also provides teletype machines and the computer terminal, and underwrites photocopy fees and other services in support of regional interlibrary loan.

The Council provides a delivery service to approximately half of its member libraries on a fixed delivery schedule. All member libraries receive at least weekly service. In addition, the delivery service stops three times each week at the Manlius Public Library which serves as an interchange point for the Mid-York Public Library System and the Onandoga Public Library (formerly, the Onandoga Library System.)

Regional Composite Indices

A number of composite indices for the Central New York 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
42.1	49.2	5.55	$2.81	.86

SOUTH CENTRAL 3 R'S REGION

The South Central Research Library Council was chartered by the Board of Regents on May 26, 1972.* It is composed of three public library systems, 20 academic libraries and 13 special libraries. These are identified in Exhibit B-13, which also distinguishes between the Council's voting and its non-voting members. The three public library systems in the region serve 103 individual public libraries.

Demography

The Council services a population of 934,996 and encompasses a 14 county area (Allegany, Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Otsego, Schuyler, Seneca, Steuben, Tioga, Thompkins, and Yates) of 10,154 square miles which is 21 percent of the land area of the State.

Twenty-six percent of the population of this region is under the age of 14, while nearly 11 percent of the population is over the age of 65. Of the population aged 14-17, 94 percent are enrolled in high school. The average adult in this region has completed 12.2 years of education and an extremely high 6.8 percent of the total regional population is enrolled in college.

The South Central region population is 38 percent urban, second lowest of the nine regions, with 44 percent of the civilian labor force employed in white collar occupations. Sixteen percent of the labor force is classified as professional, technical or kindred workers while 31 percent are employed in research and development-oriented industries.

Median family income is a low $9,518 per annum. Slightly less than eight percent of the population is under the poverty level as defined by the Bureau of the Census. Eighteen percent of the families earn incomes of over $15,000 per year. There is only one other region with a lower percentage.

Exhibit B-14 presents selected demographic characteristics for the South Central 3 R's region.

Library Resources

The public libraries in the region contain a total of 2,371,906 monograph titles (1,067,655 adult non-fiction, 632,869 adult fiction, and 671,372 juvenile), 76,418 serial titles, and 70,254 non-print materials. These libraries spent $781,645 for library materials in 1972-73, and were staffed by the equivalent of 115 full-time professionals and 320 non-professionals.

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* Date of absolute charter.

EXHIBIT B-13

MEMBER LIBRARIES: SOUTH CENTRAL 3 R'S REGION***

Public Colleges and Universities
  The State University of New York
    University Centers
    * Binghamton
    University Colleges
    * Cortland
    * Oneonta
    Statutory Colleges
    * Ceramics at Alfred University
    Two-Year Colleges
    Agricultural and Technical Colleges
    * Alfred
    * Delhi
    Community Colleges
    * Auburn
    * Broome
    * Corning
    * Tompkins-Cortland

Private Colleges and Universities
  Multiversities
  * Cornell University
  College Complexes
  * Alfred University
  * Elmira College
  * Hartwick College
  * Ithaca College
  * Wells College
  Colleges
  * Eisenhower College
  * Houghton College
  * Keuka College
  * College Center of the Finger Lakes

Public Library Systems**
*Four County
*Finger Lakes
*Chemung-Southern Tier

Special Libraries
*N.Y. State Historical Association
Auburn Memorial Hospital
Bendix Corporation
Corning Glass Works
Corning Museum of Glass
GTE Sylvania, Co.
IBM Corporation
  Electronic Systems Center
  Systems Development
Smith-Corona Laboratories
Westinghouse Electric Corporation
Elmira Psychiatric Center
Norwich Pharmacal Company
Willard Psychiatric Center

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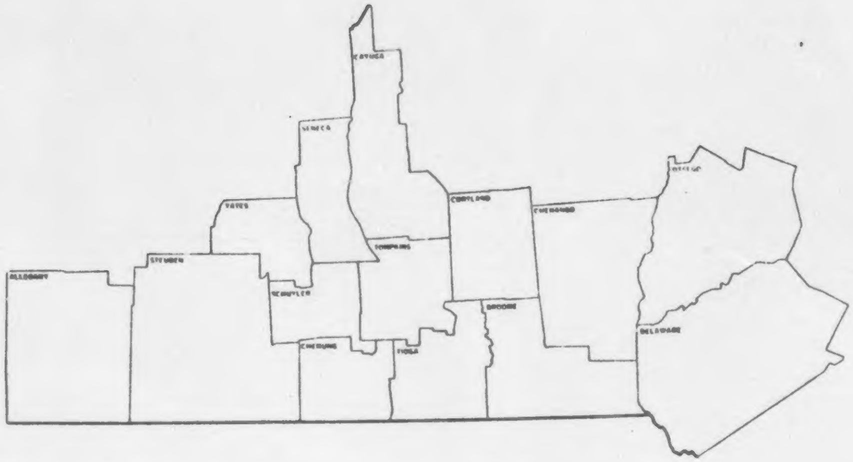
* Indicates voting members.
** In addition, one public library is a voting member of this Council.
*** As of 1974.

EXHIBIT B-14

SELECTED DEMOGRAPHIC CHARACTERISTICS: SOUTH CENTRAL 3 R'S REGION

SOUTH CENTRAL
3R'S REGION



Population	934,996
Regional share of state total	5.1%
Land area (square miles)	10,154
Regional share of state total	21.2%
Population density (pop./sq. mile)	92
Percent urban population	37.9%
Percent age 13 or less	26.4%
Percent age 65 or more	10.8%
High school enrollment as percent of pop, aged 14 - 17	94.3%
College enrollment as percent of regional population	6.8%
Median years of schooling completed	12.2
Professional, technical, and kindred workers	59,793
Percent of civilian labor force	16.2%
White collar workers	161,870
Percent of civilian labor force	44.0%
Weighted *employment in R & D oriented industries	114,634
Percent of civilian labor force	31.1%
Median family income	$9,518
Percent under poverty level	7.8%
Percent of pop, with $15,000 or more median family income	17.7%

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*Weighted by the propensity of individual industries to undertake research and development

The academic libraries in the region contain a total of 5,679,197 monographs and 80,648 serials. These libraries spent $4,181,727 for library materials in 1972-73, and were staffed by the equivalent of 252 full-time professionals and 493 non-professionals. These libraries have the highest expenditures per academic institution and the highest staff per academic institution of any of the nine regions.

The region's 40 special libraries house a total of 404,830 monograph titles. The 17 libraries reporting their annual expenditures spent $175,519 for library materials during 1972-73.

Exhibit B-15 presents selected library resources measures for the South Central 3 R's region.

3 R's Bibliographic Center

The Council provides a Bibliographic and Research Center (BARC) for member libraries in the region. The center is located in and operated by the staff of the Cornell University library under a contract with the Council that provides for reimbursement to the University for the interlibrary loan services performed by its library staff for the region.

In the South Central region, interlibrary loan is carried on by member libraries who make direct requests of each other each library acting as its own searching agent. The Council itself provides no centralized location information or processing services but instead facilitates the interlibrary loan process by supplying member libraries with long distance telephone credit cards, a Union List of Serials and a "Guide to Subject Profiles" -- a forty-page booklet outlining member library monograph by Library of Congress classification.

BARC serves primarily as a transmission site and secondarily as a bibliographic center, supplying subject and cataloging information to member libraries. With the exception of the three public library systems, each of which has its own direct access to the New York State Library, member libraries refer requests to BARC by mail for teletype transmission to the State Library. Staff members at BARC verify these requests, if necessary, search the Cornell University catalog to supply a Cornell catalog number to facilitate subsequent referral back to Cornell (which also serves as a NYSILL referral library), and then transmit the requests to the State Library. BARC maintains loan request records and reports the status of State Library and/or NYSILL referrals back to the requesting library at least once each week.

EXHIBIT 3-15

SELECTED LIBRARY RESOURCES MEASURES: SOUTH CENTRAL 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	2,371,906	76,418	70,254	1,067,665	632,869	671,372	$715,659	$100,124	$55,862	115.0	319.8	103
Academic Libraries	5,679,197	80,648	---	---	---	---	$3,558,335	$224,360	399,032	251.7	492.7	16
Special Libraries	404,830	---	---	---	---	---	(---$175,519*	(total)	---)	---	---	40
TOTAL	8,455,933											

* Total expenditures for 17 reporting special libraries.

Member libraries do not make direct monograph requests of Cornell University, although they may make direct photocopy requests by sending the request through BARC. There is, however, a $.50 handling charge and a $.10 per page photocopy charge for member libraries making these requests. (Libraries outside this region who make direct photocopy requests are assessed a $2.50 handling charge). Because of this charge very few member libraries -- usually only the industrial libraries -- use this service.

The Council provides a delivery service to each academic library and each public library system headquarters at least once each week. Special libraries in the region receive delivery on an "on-call" basis. In addition to making a daily stop at the Cornell University library and a scheduled weekly round of delivery stops, the delivery system also interfaces with the Four County Public Library System which delivers to certain academic libraries within their area, allowing these libraries to receive delivery two times per week.

All interlibrary loan activities which are carried on within this region are recorded on standard ALA forms, copies of which are sent monthly to the South Central headquarters for maintenance of interlibrary loan statistics.

Regional Composite Indices

A number of composite indices for the South Central 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
67.5	45.0	9.21	$5.59	1.26

CAPITAL DISTRICT 3 R'S REGION

The Capital District Library Council for Reference and Research Resources (CDLC) was chartered by the Board of Regents on September 24, 1971.* It is composed of three public library systems, 19 academic libraries and 18 special libraries. These are identified in Exhibit B-16, which also distinguishes between the Council's voting and its non-voting members. The three public library systems in the region serve 66 individual public libraries.

Demography

The Council encompasses a population of 962,021 (1970 census) and covers 7,204 square miles. It services the counties of Albany, Fulton, Hamilton, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, Warren and Washington.

Of the civilian labor force, slightly over half are white collar workers, 16 percent are professional, technical, or kindred workers, and a quite low 15 percent are employed in research and development-oriented industries. Nearly half of this region is classified as urban, with a population density of 134 persons per square mile.

Twenty-six percent of the population is under the age of 14, while a very high 12 percent is 65 years of age or older. Approximately 96 percent of the high school aged population is enrolled in school, and slightly over four percent of the total regional population is enrolled in college.

Median family income for this region is $10,142, with nearly seven percent of the population under the poverty level.** Twenty-one percent of the families have an annual income of over $15,000.

Exhibit B-17 presents selected demographic characteristics for the Capital District 3 R's region.

Library Resources

The public libraries in the region contain a total of 1,921,122 books (926,756 adult non-fiction, 519,760 adult fiction, and 474,606 juvenile), 86,418 serials and 46,560 non-print materials. These libraries spent $696,430 in 1972-73 for library materials and were staffed by the full-time equivalent of 137 professionals and 319 non-professionals.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-16

MEMBER LIBRARIES: CAPITAL DISTRICT 3 R'S REGION**

- Public Colleges and Universities
  - State University of New York
    - University Centers
      - * Albany
    - University Colleges
      - * Empire State
    - Two-Year Colleges
    - Agricultural and Technical Colleges
      - * Cobleskill
    - Community Colleges
      - * Adirondack
      - * Fulton-Montgomery
      - * Hudson Valley
      - * Schnectady County

- Private Colleges and Universities
  - College Complexes
    - * Russell Sage College
    - * Skidmore College
    - * Union College
  - Colleges
    - * College of St. Rose
    - * Siena College
  - Engineering and Technical Schools
    - * Rensselaer Polytechnic Institute
  - Specialized Colleges
    - * Albany Law School
  - Health Centers
    - * Albany College of Pharmacy
    - * Albany Medical College
  - Seminaries and Religious Training Centers
    - * Immaculate Conception Seminary at Troy
  - Two-Year Colleges
    - * Maria College of Albany
    - * Junior College of Albany

- Public Library Systems
  - *Mohawk Valley
  - *Southern Adirondack
  - *Upper Hudson
- Special Libraries
  - *Dudley Observatory
  - *Ellis Hospital
  - *Hospital Educational and Research Fund
  - *New York State Department of Mental Hygiene
  - *New York State Department of Motor Vehicles
  - *New York State Department of Social Services
  - *St. Mary's Hospital
  - *St. Peter's Hospital
  - *Samaritan Hospital
  - *U.S. Veterans Administration Hospital
  - *Watervliet Arsenal
  - General Electric Company
    - Main Library
    - Knolls Atomic Power Laboratory
    - Research and Development Center
  - Sterling-Winthrop Research Institute
  - Norton Company
  - Schenectady Chemicals, Inc.

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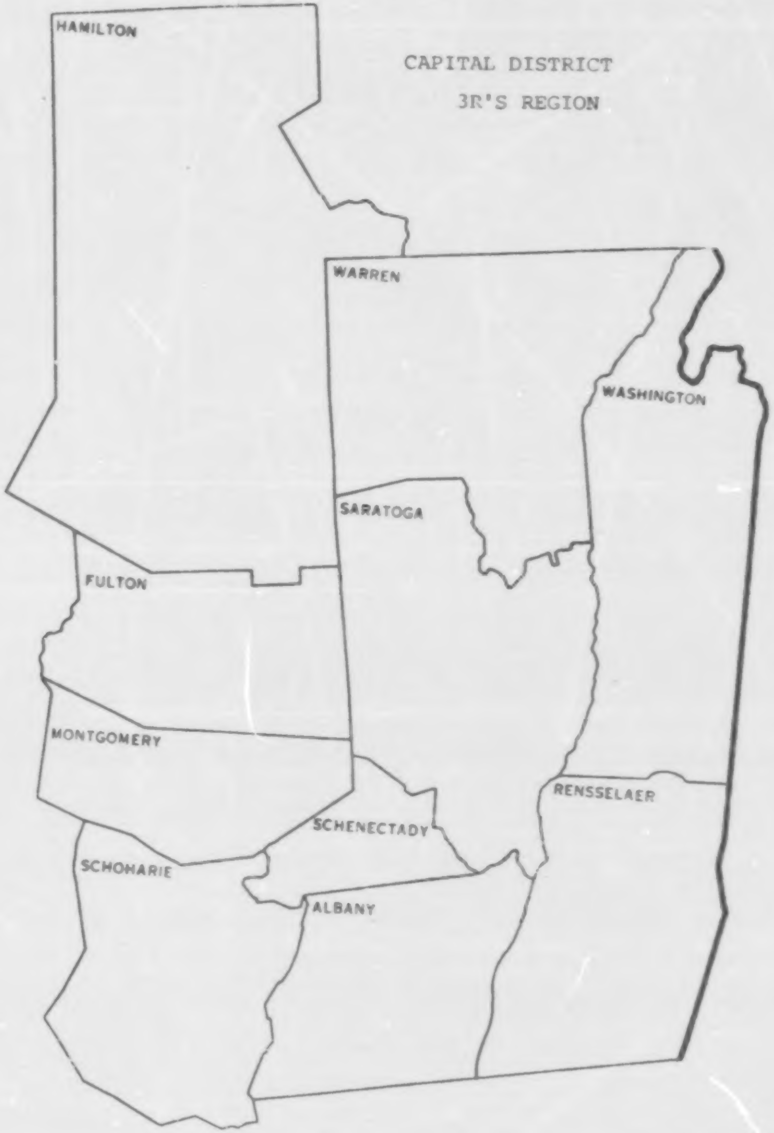
* Identifies voting members.

** As of 1974.

EXHIBIT B-17

SELECTED DEMOGRAPHIC CHARACTERISTICS: CAPITAL DISTRICT 3 R'S REGION



Population	962,021
Regional share of state total	5.3%
Land area (square miles)	7204
Regional share of state total	15.1%
Population density (pop./sq. mile)	134
Percent urban population	49.8%
Percent age 13 or less	25.6%
Percent age 65 or more	12.2%
High school enrollment as percent of pop. aged 14 - 17	95.8%
College enrollment as percent of regional population	4.1%
Median years of schooling completed	11.9
Professional, technical, and kindred workers	63,056
Percent of civilian labor force	16.1%
White collar workers	195,823
Percent of civilian labor force	50.2%
Weighted* employment in R & D oriented industries	60,316
Percent of civilian labor force	15.4%
Median family income	$10,142
Percent under poverty level	6.8%
Percent of pop, with $15,000 or more median family income	21.2%

[*] Weighted by the propensity of individual industries to undertake research and development.

The region's academic libraries have a total book stock of 2,335,861 titles and 25,193 serial titles. These libraries had staff the equivalent of 150 full-time professionals and 241 non-professionals in 1972-73 and spent $2,008,814 for library materials that year.

The 40 special libraries in the region contain 663,143 volumes. Of these 16 libraries reported expenditures of $470,342 for the year 1972-73 for library materials.

Exhibit B-18 presents selected library resources measures for the Capital District 3 R's region.

3 R's Bibliographic Center

The Capital District Bibliographic Center is located in the library of the Renssalaer Polytechnic Institute in Troy. It serves as the interlibrary loan clearinghouse and bibliographic center for the region. On August 1, 1975, it began to function as a transmission site to NYSILL for the Council's member libraries. It has been providing delivery services to member libraries since 1967 and also has a location service. This center, with a staff including a catalog librarian, a terminal operator, a serials librarian, several part-time professional, paraprofessional and student assistants, has access to not only a Union List of Periodicals but also to a Union Catalog composed of current monograph acquisitions after 1967-68 and the recataloging of previously acquired materials. This catalog now contains over 700,000 titles with approximately 100,000 titles being added yearly. The center is connected by telecopier to two of the public library systems and several of the other member libraries, and also has access to OCLC information through the terminal located in the center.

Regional Composite Indices

A number of composite indices for the Capital District 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction to Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
39.0	48.2	5.23	$3.29	.83

EXHIBIT B-18

SELECTED LIBRARY RESOURCES MEASURES: CAPITAL DISTRICT 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	1,921,122	86,418	46,560	926,756	519,760	474,606	$577,938	$59,194	$59,298	137.4	318.8	66
Academic Libraries	2,335,861	25,193	---	---	---	---	$1,423,221	$39,144	$537,449	150.2	241.4	22
Special Libraries	663,143	---	---	---	---	---	(---	$470,342*	---)	---	---	48
TOTAL	4,920,126											

* Total expenditures for 16 reporting special libraries.

SOUTHEASTERN NEW YORK 3 R'S REGION

The Southeastern New York Library Resources Council (SENYLRC) was chartered by the Board of Regents on September 25, 1970.* It is composed of two public library systems, 21 academic libraries and 29 special libraries. These are identified in Exhibit B-19, which also distinguishes between the Council's voting and its non-voting members. The two public library systems in the region serve 105 individual public libraries.

Demography

The SENYLRC comprises the eight counties of Columbia, Dutchess, Ulster, Sullivan, Rockland, Orange, Putnam and Greene. This region has 5,472 square miles -- 11.4 percent of the land area of the State -- and has a population of 1,009,026, which is 5.5 percent of the State's total. Population density is a relatively low 184 persons per square mile, and slightly under 40 percent of the region is classified as urban.

Twenty-eight percent of the population is under 14 years of age with 10 percent aged 65 or older. Of the high school aged population about 92 percent are actually enrolled in high school, while only 3.3 percent (lowest of any of the 3 R's regions) of the population is enrolled in college. Median years of school completed is a relatively high 12.2 years.

Fifty percent of the civilian labor force is classified as white collar workers, while 22 percent are employed in research and development-oriented industries and 18 percent are classified as professional, technical, or kindred workers.

Median family income is $11,104, third highest for any of the 3 R's regions in the State. Only 6.4 percent of the population is under the poverty level,** while 23 percent have median family incomes of $15,000 or more.

Exhibit B-20 presents selected demographic characteristics for the Southeastern New York 3 R's region.

Library Resources

The public libraries in this region contain a total of 1,788,082 books (844,051 adult non-fiction, 426,877 adult fiction, and 517,154 juvenile), 67,740 serials, and 63,259 non-print materials. These libraries spent $974,201 for library materials during 1972-73. They were staffed by the full-time equivalent of 83.5 professionals and 303 non-professionals that year.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-19

MEMBER LIBRARIES: SOUTHEASTERN NEW YORK 3 R'S REGION***

- Public Colleges and Universities
  - The State University of New York
    - University Colleges
      - * New Paltz
    - Community Colleges
      - * Columbia-Greene
      - * Dutchess
      - * Orange County
      - * Rockland
      - * Sullivan County
      - * Ulster County

- Private Colleges and Universities
  - College Complexes
    - * Vassar College
  - Colleges
    - * Bard College
    - * Dominican College of Blauvelt
    - Ladycliff College
    - * Marist College
    - * Mount St. Mary College
    - * St. Thomas Aquinas College
  - Specialized Colleges
    - * U.S. Military Academy at West Point
  - Seminaries and Religious Training Colleges
    - * Mount St. Alphonsus Seminary
    - * Nyack College
    - * Mount Alvernia Friary
  - Two-Year Colleges
    - General Programs
      - * Bennett College
      - Harriman College
    - Specialized
      - Culinary Institute of America

- Public Library Systems**
  - *Ramapo Catskill
  - *Mid-Hudson
- Special Libraries
  - *Franklin D. Roosevelt Library
  - *U.S. Veterans Administration Hospital
  - Avon Products, Inc.
  - Astor Home for Children
  - Cary Arboretum
  - Columbia Memorial Hospital
  - Dutchess County Mental Health Library
  - Harlem Valley Psychiatric Center
  - International Business Machines
    - Systems Development Division
    - Laboratory Library
  - St. Francis Hospital
  - St. Regis Paper Company
  - Texas Instruments
  - Vassar Brothers Hospital
  - Wassaic Development Center
  - Benedictine Hospital
  - Cornwall Hospital
  - Dutchess County Department of Planning
  - Elizabeth Horton Memorial Hospital
  - Helen Hays Medical Library Hospital
  - Hudson River State Hospital
    - Medical Library
    - Psychiatric Epidemiology Research Unit
  - Institute of Environmental Medicine
  - Rockland Children's Psychiatric Hospital
  - Rockland Psychiatric Center
  - St. Luke's Hospital
  - Shaker Museum Foundation
  - Fishkill Correctional Facility
  - Nyack Hospital

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* Identifies voting member libraries.

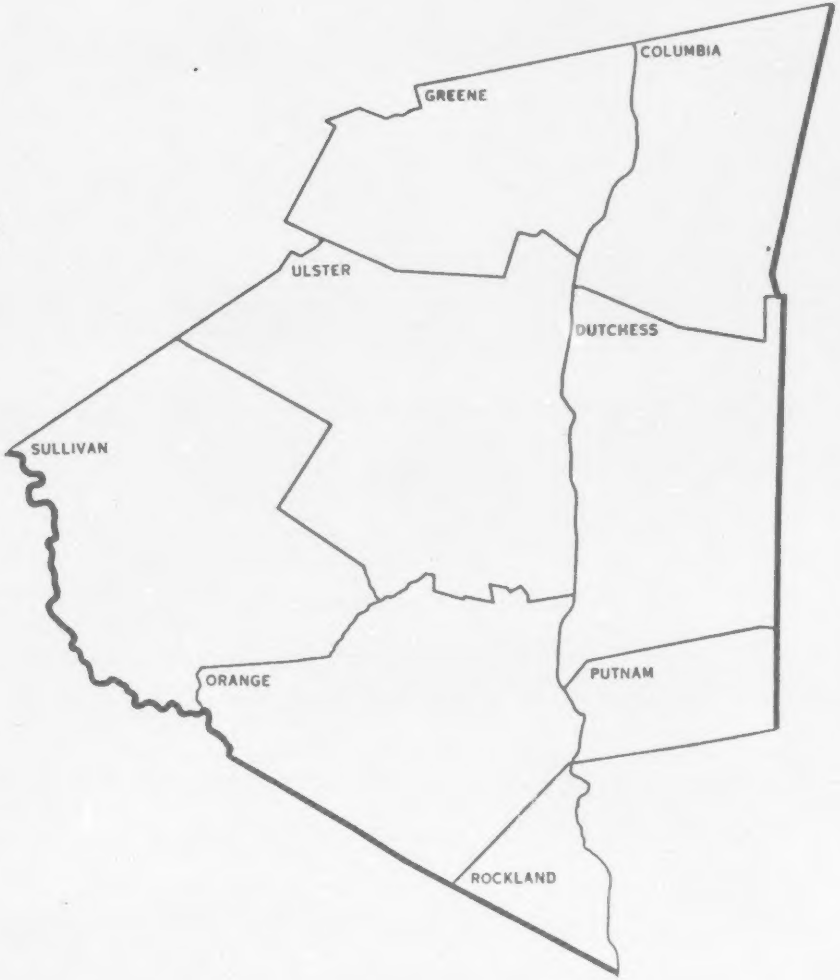
** In addition, five public libraries are members of the Council.

*** As of June, 1975.

EXHIBIT B-20

SELECTED DEMOGRAPHIC CHARACTERISTICS: SOUTHEASTERN NEW YORK 3 R'S REGION

SOUTHEASTERN NEW YORK 3R'S REGION



Population	1,009,026
Regional share of state total	5.5%
Land area (square miles)	5,472
Regional share of state total	11.4%
Population density (pop./sq. mile)	184
Percent urban population	39.9%
Percent age 13 or less	27.8%
Percent age 65 or more	10.2%
High school enrollment as percent of pop. aged 14 - 17	91.9%
College enrollment as percent of regional population	3.3%
Median years of schooling completed	12.2
Professional, technical, and kindred workers	70,694
Percent of civilian labor force	18.4%
White collar workers	190,516
Percent of civilian labor force	49.7%
Weighted *employment in R & D oriented industries	84,373
Percent of civilian labor force	22.0%
Median family income	$11,104
Percent under poverty level	6.4%
Percent of pop, with $15,000 or more median family income	23.0%

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*Weighted by the propensity of individual industries to undertake research and development.

The academic libraries in the region contain a total of 1,829,715 books and 16,196 serial titles. Their annual expenditures for library materials totaled $1,155,267 in 1972-73, and they were staffed by the full-time equivalent of 109 professionals and 154 non-professionals that year.

The region's 29 special libraries contain 63,259 monograph titles. The 13 libraries which reported their annual expenditures spent $69,002 on library materials in 1972-73.

Exhibit B-21 presents selected library resources measures for the Southeastern New York 3 R's region.

3 R's Bibliographic Center

The Southeastern region's biblographic center, located on the second floor of the SUNY College at New Paltz library, has been operating since the spring of 1971. Staffed by an interlibrary loan librarian, an OCLC terminal operator/clerk, and two part-time clerks, the center provides verification services, OCLC search and verification, teletype transmission to NYSILL, subject search services, and delivery services to borrowing libraries. A Union List of Serials, the beginning of a Union Catalog, and a Directory of Area Resources and Subject Strengths are resources available to the region and used by the center.

Regional Composite Indices

A number of composite indices for the Southeastern New York 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
29.8	47.2	4.04	$2.18	.64

EXHIBIT B-21

SELECTED DEMOGRAPHIC CHARACTERISTICS: SOUTHEASTERN NEW YORK 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	17,422,531	240,796	470,213	12,440,317	1,733,135	3,249,079	$8,695,984	$249,322	$306,275	1992.6	3394.2	234
Academic Libraries	18,905,838	184,137	---	---	---	---	$8,875,240	$220,343	$1,541,180	979.97	1637.6	91
Special Libraries	11,751,925	---	---	--	---	---	($4,065,632*		)	---	---	676
TOTAL	48,080,294											

* Total expenditures for 229 reporting special libraries.

LONG ISLAND 3 R'S REGION

The Long Island Library Resources Council, Inc. (LILRC) was chartered by the Board of Regents on June 25, 1971.* It is composed of two public library systems, 18 academic libraries and 32 special libraries. These are identified in Exhibit B-22, which also distinguishes between the Council's voting and its non-voting members. The two public library systems in the region serve 103 individual public libraries.

Demography

The Long Island region encompasses 1,218 square miles and includes both Nassau and Suffolk Counties. In 1970, 2,553,081 individuals lived in these two couties, giving the area a very high population density of 2,096 persons per square mile.

The population of the Long Island area is somewhat younger than most other regions. Slightly more than 28 percent of the population is under 14 years of age, while only eight percent of the population (lowest of any region) is over 65 years of age. Approximately 98 percent of the high school aged population is enrolled in school (highest of any region) while only 3.3 percent of the total regional population is enrolled in post-secondary institutions on Long Island (lowest of any region).

The region has a very high 95 percent urban classification. The Long Island region has the highest percentage of white collar workers in the State (58 percent of the civilian labor force) as well as the second highest percentage of professional, technical and kindred workers (18 percent). Nearly 23 percent of the civilian labor force is employed in research and development-oriented industries.

Median family income ($13,176) is the highest for any region. Only four percent of the population of this region is under the poverty level,** and nearly 40 percent of families have incomes over $15,000 per year.

Exhibit B-23 presents selected demographic characteristics for the Long Island 3 R's region.

Library Resources

Long Island's public libraries contain 6,993,749 monograph titles (3,782,029 adult non-fiction, 1,369,326 adult fiction, and 1,842,394 juvenile), 209,800 serials, and 227,556 non-print materials. Their annual expenditure for library materials during 1972-73 was $4,246,038. They were staffed by the full-time equivalent of 618 professionals and 1,447 non-professionals.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-22

MEMBER LIBRARIES: LONG ISLAND 3 R'S REGION***

Public Colleges and Universities

- The State University of New York
  - University Centers
    - * Stony Brook
  - University Colleges
    - * Old Westbury
  - Health Sciences Centers
    - * Stony Brook Health Sciences Center
  - Two-Year Colleges
  - Agricultural and Technical Colleges
    - * Farmingdale
  - Community Colleges
    - * Nassau
    - * Suffolk County

Private Colleges and Universities

- Universities
  - * Hofstra University
  - * Adelphi University
  - Long Island University
    - * C.W. Post
    - * Southampton
- Colleges
  - * Dowling College
  - * Molloy College
- Engineering and Technical Schools
  - * New York Institute of Technology
  - Webb Institute of Naval Architecture
  - * Polytechnic Institute of New York
- Seminaries and Religious Training Centers
  - Five Towns College
  - Immaculate Conception Seminary
  - George Mercer School of Theology

Public Library Systems**

- *Nassau
- *Suffolk

Special Libraries

- *Brookhaven National Laboratory
- *Central Islip State Hospital
- *Cold Spring Harbor Laboratory
- *Huntington Historical Society
- *Long Island Jewish-Hillside Medical Center
- *New York Ocean Science Laboratory
- *Plum Island Animal Disease Center
- *Suffolk Academy of Medicine
- *U.S. Veterans Administration Hospital
- *Nassau County Department of Health
- *Nassau County Medical Center
- *Nassau County Museum
- *South Nassau Community Hospital
- Burns and Roe, Inc.
- Cardion Electronics
- Endo Laboratories, Inc.
- Fairchild Republic Company
- General Instrument Corporation
- Hazeltine Corporation
- PRD Electronics, Inc.
- Radiation Dynamics, Inc.
- Sperry Rand Corporation
- Nassau Academy of Medicine
- Airborne Instruments
- KLD Associates, Inc.
- Frequency Electronics, Inc.
- Grumman Aerospace Corporation
- Holzmacher, McLandon & Murrel,P.C.
- BOCES-Nassau Education Resources Center
- Metco, Inc.
- South Oaks Hospital
- Performing Arts Foundation of L.I.

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* Indicates voting member libraries.

** In addition, 26 public libraries are members of this Council.

*** As of July, 1975.

EXHIBIT B-23

SELECTED DEMOGRAPHIC CHARACTERISTICS: LONG ISLAND 3 R'S REGION

LONG ISLAND 3R'S REGION

Population	2,553,081
Regional share of state total	14.0%
Land area (square miles)	1218
Regional share of state total	2.5%
Population density (pop./sq. mile)	2096
Percent urban population	94.7%
Percent age 13 or less	28.3%
Percent age 65 or more	7.8%
High school enrollment as percent of pop. aged 14 - 17	96.7%
College enrollment as percent of regional population	3.4%
Median years of schooling completed	12.3
Professional, technical, and kindred workers	178,883
Percent of civilian labor force	18.0%
White collar workers	577,674
Percent of civilian labor force	58.4%
Weighted* employment in R & D oriented industries	224,651
Percent of civilian labor force	22.7%
Median family income	$13,167
Percent under poverty level	4.2%
Percent of pop, with $15,000 or more median family income	38.8%

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*Weighted by the propensity of individual industries to undertake research and development.

The academic libraries in the region hold 2,725,032 monograph titles and 47,342 serials. These institutions spent $2,976,000 for library materials in 1972-73. They were staffed by the full-time equivalent of 227 professionals and 347 non-professionals.

Outside of the METRO region, Long Island has the largest number of special libraries. The 51 special libraries in the region contain 615,306 volumes. In 1972-73 22 reporting special libraries spent $419,040 for library materials.

Exhibit B-24 presents selected library resources measures for the Long Island 3 R's region.

3 R's Bibliographic Center

The Council's interlibrary loan activity is carried out within the LILRC offices, which are located in the Suffolk Cooperative Library System building in Bellport. The bibliographic center, with a three person staff consisting of one full-time interlibrary loan librarian and two part-time clerks, provides a location and delivery service for the Council's member libraries. A recently completed Union List of Serials enables member libraries to go directly to each other for serials, while monograph requests are located by means of microfilm copy of the catalogs of the larger member libraries. Two part-time drivers with a leased car provide daily delivery to the member libraries.

Regional Composite Indices

A number of composite indices for the Long Island 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
26.9	54.1	4.15	$2.99	.92

EXHIBIT B-24

SELECTED LIBRARY RESOURCES MEASURES: LONG ISLAND 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	6,993,749	209,800	227,556	3,782,029	1,369,326	1,842,394	$3,623,101	$313,963	$308,974	618.0	1446.7	103
Academic Libraries	2,725,032	47,342	---	---	---	---	$2,363,199	$60,912	$551,876	227.2	347.0	17
Special Libraries	615,306	---	---	---	---	---	(---	$419,039*	--)	---	---	51
TOTAL	10,334,087											

* Total expenditures for 22 reporting special libraries.

NEW YORK METROPOLITAN 3 R'S REGION

The New York Metropolitan Reference and Research Library Agency, Inc. (METRO) was the first of the nine 3 R's councils which now cover the State of New York. Chartered on June 26, 1964,* the Council is composed of one public library system , three major public libraries, 54 academic libraries and 16 special libraries. These are identified in Exhibit B-25, which also distinguishes between the Council's voting and its non-voting members. Several of the member libraries of this Council are located outside New York State. The one public library system in the region serves 38 individual public libraries and the three major public libraries serve 196 branch libraries.

Demography

The METRO 3 R's region, covering the county of Westchester and the five boroughs of New York City, encompasses the smallest land area of any region (743 square miles, or 1.6 percent of the State's total) but the largest population (8,788,898 persons, or over 48 percent of the State's population). The region has a population density of 11,830 persons per square mile, and is over 98 percent urban.

The population of the METRO region is slightly older than that of most of the other regions. Twenty-three percent of the population is under the age of 14, and nearly 12 percent is older than 65. Ninety-two percent of the high school aged population is enrolled in school (second lowest among the regions), while 4.1 percent of the regional population is enrolled in a post-secondary institution.

Fifty-six percent of the civilian labor force in the region is classified as white collar workers (second highest region), while nearly 16 percent are professional, technical and kindred workers and 25 percent are employed in research and development-oriented industries.

Median family income is $10,028,which is low among the regions but still higher than the mean for the State as a whole. Nearly 11 percent of the population (highest of any region) is under the poverty level** even though over one-fourth of the families have median incomes over $15,000 per year.

Exhibit B-26 presents selected demographic characteristics for the METRO 3 R's region.

Library Resources

The public libraries in the region contain book stock collections of 17,422,531 volumes (12,440,317 adult non-fiction, 1,733,135 adult fiction, and 3,249,079 juvenile), 240,796 serials, and 470,213 non-print materials. These libraries spent $9,251,581 for library materials in 1972-73, and had a full-time equivalent staff of 1,993 professionals and 3,394 non-professionals.

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* Date of absolute charter.

** As defined by the Bureau of the Census.

EXHIBIT B-25

MEMBER LIBRARIES: METRO 3 R'S REGION**

Public Colleges and Universities
State University of New York
University Colleges
* Purchase
Specialized Colleges
*Maritime
Two-Year Colleges
Community Colleges
* Westchester
Community Colleges in New York City
* Borough of Manhattan
* Hostos
* Kingsborough
* LaGuardia
* New York City
* Queensborough
* Staten Island

The City University of New York
* Graduate School and University Center
Senior Colleges
* Baruch College
* Brooklyn College
* City College
* Hunter College
* John Jay College of Criminal Justice
* Lehman College
* Queens College
* Richmond College
* York College
Private Colleges and Universities
Multiversities
* Columbia University
* New York University
Universities
* Long Island University
Brooklyn Center
Seminaries and Religious Training Colleges
* St. Joseph's Seminary and College
* Union Theological Seminary
* Leo Beack Institute

Private Colleges and Universities(cont.)
*St. John's University
College Complexes
*Iona College
*Manhattan College
*Manhattanville College
New School for Social Research
*Pace University
*Sarah Lawrence College
Colleges
*Braircliff College
*College of Mount St. Vincent
*College of New Rochelle
*College of White Plains
*Finch College
*King's College
*Marymount College
*Marymount Manhattan College
*Mercy College
*St. Francis College
Engineering and Technical Schools
*Polytechnic Institute of New York
*Pratt Institute
*New York Institute of Technology
Specialized Colleges
*Bank Street College
*Teachers College
Public Library Systems***
Westchester Library System
New York Public Libraries
Queens Borough Public Library
Brooklyn Public Library
New York Public Library
Special Libraries
*Council on Foreign Relations
*Engineering Societies
*Ford Foundation
*Medical Library Center of New York
*Metropolitan Museum of Art
*New York Botanical Garden
*New York Zoological Society
*Chemists Club

EXHIBIT B-25 (cont.)

Other Colleges and Universities

- Fairleigh Dickinson University
- Fairleigh-Messler University Library
- Montclair State College
- St. Peter's College
- SUNY Empire State College-Metropolitan Learning Center

Special Libraries (con.t)

- *The Foundation Center
- *General Society of Mechanics and Tradesmen of the City of New York
- *New York Society
- *The American Museum of Natural History
- *New York State Psychiatric Institute
- *The Rockfeller Foundation
- *U.S. Veterans Administration Hospital
- Lummus Company

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* Identifies voting member libraries.

** As of January, 1976.

*** Two additional public libraries are members of this system.

EXHIBIT B-26

SELECTED DEMOGRAPHIC CHARACTERISTICS: METRO 3 R'S REGION

NEW YORK METROPOLITAN 3R'S REGION

Population	8,788,898
Regional share of state total	48.2%
Land area (square miles)	743
Regional share of state total	1.6%
Population density (pop./sq. mile)	11,829
Percent urban population	98.5%
Percent age 13 or less	23.0%
Percent age 65 or more	11.5%
High school enrollment as percent of pop. aged 14 - 17	92.4%
College enrollment as percent of regional population	4.1%
Median years of schooling completed	11.7
Professional, technical, and kindred workers	581,047
Percent of civilian labor force	15.6%
White collar workers	2,086,824
Percent of civilian labor force	56.1%
Weighted* employment in R & D oriented industries	940,603
Percent of civilian labor force	25.3%
Median family income	$10,028
Percent under poverty level	10.7%
Percent of pop, with $15,000 or more median family income	25.6%

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*Weighted by the propensity of individual industries to undertake research and development.

The region's academic libraries contain 18,905,838 monograph titles and 164,137 serial titles. Their annual expenditures for library materials in 1972-73 was $10.6 million. They were staffed by the full-time equivalent of 980 professionals and 1,638 non-professionals.

The 676 special libraries in the region contain 11,751,925 volumes. The 229 special libraries reporting their expenditures spent a total of $4,065,632 for all library services in 1972-73.

Exhibit B-27 presents selected library resources measures for the METRO 3 R's region.

3 R's Bibliographic Center

The New York Metropolitan Reference and Research Library Agency, Inc. (METRO), with offices in Manhattan, provides reference services to member libraries within the region. No formal interlibrary loan service is provided by the Council.

The small geographic size of the region and the transportation available have mitigated the need for a formal regional interlibrary loan program. Member libraries find it much easier, much faster, and less costly to send the patron directly to the library holding the desired item.

To facilitate this area-wide user system, many types of procedures have been instituted by member libraries. The New York Public Library will loan books to any person holding a library card (regardless of the patron's state of residence). The Queens Borough and Brooklyn Public Library systems honor The New York Public Library and other library cards; certain academic institutions have arrangements to circulate material to the faculty and students of other academic institutions; groups of special libraries lend freely among themselves; and special arrangements can be made between patrons and individual member libraries. There is currently no universal borrowers card, as all libraries do not provide open access. However, it has been one of the objectives of the METRO 3 R's Council to obtain wider borrowing privileges from the privately supported member institutions in the region.

Eight of the nine NYSILL referral libraries are located within the METRO region. Because these libraries are easily accessed in person, patrons seldom make requests through the State network unless they want to avoid paying for photocopy or are in no particular rush to obtain the desired item.

EXHIBIT B-27

SELECTED LIBRARY RESOURCES MEASURES: METRO 3 R'S REGION

Type of Library	Size of Collections			Level of Collections			Annual Expenditures			FTE Staffing		Number of Institutions
	Book Stock	Serials	Non-Print Mats.	Adult Nonfiction	Adult Fiction	Juvenile	Library Mats.	Audiovisual Mats.	Serials	Prof.	Non Prof.	
Public Libraries	1,788,082	67,740	63,259	844,051	426,877	517,154	$757,868	$109,353	$106,980	83.5	303.2	105
Academic Libraries	1,829,715	16,196	---	---	---	---	$759,817	$ 44,882	$350,568	108.62	153.97	19
Special Libraries	377,094	---	---	---	---	---	(-- $69,002*		--)	---	---	29
TOTAL	3,994,891											

* Total expenditures for 229 reporting special libraries.

Under contractual arrangements with The New York Public Library the METRO Council provides the services of two reference librarians (on a part-time basis) who answer difficult reference questions and refer librarians to institutions which contain special collections.

Since special borrowing arrangements can usually be made between patrons and individual libraries, since most academic libraries allow open access to items to be read in the library, and since transportation is readily available between the various institutions, the METRO Council does not envision the initiation of a formal, regional interlibrary loan program in the near future.

Regional Composite Indices

A number of composite indices for the METRO 3 R's region are presented below. These indices link some of the demographic characteristics and library resources measures.

Volumes/ Researcher	Percent Adult Non-Fiction of Total Public Library Titles	Serials and Book Stock/ Capita	Budget/ Capita	Staff/1,000 Population
48.7	71.4	5.52	$2.72	.91

DESCRIPTION OF PROFILE CONTENTS

This postscript to the individual profiles of the nine 3 R's regions in New York State explains how some of the data presented in the profiles were collected and/or calculated. Those items which are not explained here were judged to be self-explanatory.

Data for Demographic Profile

The urban population is defined by the Census Bureau as all persons living in urbanized areas -- incorporated and unicorporated cities, towns and villages -- and in places of 2,500 inhabitants or more outside urbanized areas. Percent urban population is urban population as a percent of the total regional population. The source for these data was the Bureau of the Census, Census of the Population: 1970; General Social and Economic Characteristics, Final Report PC(1)-C34, New York, U.S. Government Printing Office; Washington, D.C. 1972.

The percent of regional population in the 13 or less age category is representative of that population group requiring juvenile library resources. This information was gathered from the Bureau of the Census, Census of the Population: 1970, General Population Characteristics, Final Report PC(1)-C34, New York, U.S. Government Printing Office: Washington, D.C., 1971. The percent of regional population 65 years old or more was also obtained from the General Population Characteristics.

The college enrollment data reflect the number of students enrolled in each region's post-secondary educational institutions. The source for this information was the U.S. Office Education, National Center for Education Statistics Annual, 1970, U.S. Government Printing Office; Washington, D.C., 1971. Enrollment by place of matriculation is the more important measure for dealing with college students as consumers of library services.

Professional, technical, and kindred workers include the following categories: engineers; physicians, dentists, and related practitioners; other health workers including dietitians, registered nurses, clinical laboratory technologists and technicians, and therapy assistants; teachers from pre-kindergarten to secondary schools; technicians, including surveyors, airplane pilots, radio operators, and agricultural, biological, chemical and electric technicians; and such professionals as lawyers, librarians, researchers, clergymen and other religious workers, college teachers, authors, musicians and composers. The source for this information was the General Social and Economic Characteristics, Bureau of the Census, 1970 cited above.

White collar workers include professional, technical and kindred workers as defined above, managers and administrators, sales workers, and clerical and kindred workers. The data source for the white collar employment group was also the General Social and Economic Characeristics for 1970.

The industries classified as research and development-orientd are the following: processed food and kindred products; textiles and apparel, lumber, wood products and furniture; paper and allied products; chemicals and allied products; rubber products; stone, clay, and glass products; primary metals, and fabricated metal products; machinery; electrical and communications equipment; motor vehicles and other transportation equipment; aircraft and missiles; professional and scientific instruments; medicine and other health sciences; law; and education. The National Science Foundation in its Research and Development in Industry Annual for 1972, U.S. Government Printing Office, Washington, D.C., the total corporate funds, including government grants, expended on research and development for each industry as a percentage of total industry expenditures. These percentages were used in a weighting scheme designed to reflect the extent to which each industry actually undertakes research and development. Total real industry employment was multiplied by the industry weighting coefficient to obtain the weighted employment in research and development-oriented industries.

Three colleges included in DCUL were not in PSEI and were therefore omitted from the academic statistics, but were included in the special library statistics: the Rabbinical Seminary of America; George Mercer, Jr. School of Theology; and the Institute of Public Administration. Two other institutions were not listed in PSEI but are included in the academic library statistics: the U.S. Military Academy, and the U.S. Merchant Marine Academy. Fourteen institutions listed in PSEI are not included because they did not appear in DCUL: Verrazzano College, Five Towns College, two seminaries and 10 occupational institutions authorized by the Regents to grant degrees on a program basis.

The sources of the academic library statistics presented in each profile were: (1) for the Number of Volumes, Number of Serial Titles Currently Received, Annual Expenditure for Library Materials, Number of Professional Staff, Number of Nonprofessional Staff: Directory of College and University Libraries in New York State, SUNY, State Education Department, Division of Library Development, Albany, New York, 1973; and (2) for Expenditures for Books, Audiovisual Materials and Periodicals: American Library Directory, 1974-75, New York: R.R. Bowker Company, 1974 which usually gives 1972-73 statistics, where available. Where ALD did not include these statistics, the 1971-72 budgeted figures from the U.S. Office of Education, Library Statistics for Colleges and Universities, Institutional Data, Part A, Fall 1971, National Center for Educational Statistics, Library Services Branch, U.S. Government Printing Office: Washington, D.C., 1971 were substituted for the ALD figures for books and for audiovisual materials.

Poverty level statistics are based on a poverty index originally developed by the Social Security Administration and later modified by a Federal Interagency Committee in 1968. The index provides a range of poverty income cutoffs adjusted by such factors as family size, sex of the family head, number of children under 18 years old, and farm and nonfarm residence. It excludes persons in penal institutions and the military services living in barracks. It is updated annually to reflect changes in the cost of living as measured by the Consumer Price Index. The Consumer Price Index is, however, a national measure and no attempt is made by the Census Bureau to inject regional or state differences in the cost of living into the measure of poverty.

Data for Library Resources Profile

Statistics for public libraries and library systems were gathered from Public and Association Libraries Statistics, 1973, SUNY, State Education Department, Division of Library Development, Albany, 1973. These data are arranged by system; county and system totals were regrouped by 3 R's region, and regional totals compiled.

The full-time equivalent (FTE) number of staff members in public libraries was determined by dividing the total staffing hours reported according to the following formulas:

Professional: 35 hrs/wk x 46 wks/yr (4 wk vacation, 10 paid holidays) = 1,610 hrs. per year

Nonprofessional: 35 hrs/wk x 48 wks/yr (2 wk vacation, 10 paid holidays) = 1,680 hrs. per year

The main data source for statistics on academic libraries was the New York State Education Department's Directory of College and University Libraries in New York, 1973. This list was cross-checked against Post-secondary Education in Transition, SUNY, State Education Department, Albany: 1974.

Statistics for special libraries were gathered from the American Library Directory, 1974-75. Special libraries listing address only, but not volumes, were omitted. Of the 966 special libraries included in the profile statistics, only 343 gave data on expenditure for library materials.

Subject departments, or special subject libraries within public and academic libraries, were not included within the special library statistics but were included in the statistics for the public or academic libraries. Patients' libraries in hospitals were not included.

APPENDIX C

COMPARATIVE PROFILE OF THE NINE 3 R'S REGIONS IN NEW YORK STATE

This appendix presents a comparative statewide profile of the general demographic characteristics of the nine 3 R's regions, and an overview of the quantity and to some extent the quality of regional library resources. Both demographic characteristics and the availability of library resources have a direct bearing upon the character of interlibrary loan requests which are generated in each region, and upon the quality of loan service which regional member libraries are able to provide their patrons.

Regional Overview

The Western New York Library Resources Council serves a core urban area, centered along the heavily industrialized Buffalo/Niagara Falls corridor, as well as the rural, agricultural lands to the south. Here the public library resources are among the strongest in the State, second only to those in New York City in their holdings of adult non-fiction titles as a percent of total holdings.

Immediately to the east is the Rochester Regional Research Library Council, serving the heavily research and development-oriented Monroe County urban area, plus a set of quite rural counties to the south. Here the presence of a major university -- The University of Rochester and its associated professional schools -- provides a significant resource base.

The superior strength of the public libraries in the Western region is revealed by the differences in adult non-fiction holdings -- 61.6 percent of the total in that region as against 49.1 percent in Rochester. The greater propensity of the latter region to generate the use of specialized research resources is indicated by the demographic statistics: the portions of persons in research and development-oriented industries, in white collar jobs, and in strictly professional or technical jobs are all higher in the Rochester region than in the Western region.

The Western and Rochester regions both receive State support to help operate local research/reference networks. The remaining regions to be discussed do not receive such support.

In the sparsely populated northern tier of the State, we find both the smallest collection of library materials and the smallest group of potential users. While the ratio of volumes to researchers is very nearly the same as in the Western region, and better than that in the Rochester region, the absolute depth of these holdings is too limited to meet the diverse range of information that researchers may need. This is the State's least urban region. Its public libraries are more likely than any others to contain mostly fiction and children's literature. Its population includes markedly fewer white collar workers than the State generally. A principal function for the North Country Reference and Research Resources Council must be to provide access to other regions' resources.

The Central New York Library Resources Council centers on Syracuse and the surrounding counties. The character of this region is well indicated by the fact that while its general population density is not especially great -- about two-thirds that of the Western region -- it is nevertheless widely urbanized. More of the population resides in urban areas than is the case in any other part of the State save the New York City and Long Island regions. This is a district of small cities. The region is similar to Rochester in its heavy share of research and development-oriented enterprises.

To the south, a strip of counties bordering Pennsylvania comprise the South Central Research Library Council. One of the least urbanized of the nine regions, South Central has stronger library resources than all the other regions in the State except that covering New York City. The region has more volumes in it than does the Long Island region, yet it has only about a third the population of that region. The reason is, of course, the presence of Cornell University and SUNY at Binghamton. This region has the highest college enrollment as a percent of regional population of any 3 R's region.

The situation of the Capital District Library Council for Reference and Research Resources is similar, roughly, to that of the Central region around Syracuse in that its considerable holdings are divided among several institutions of moderate strength, with no single resource of exceptional depth or quality other than the State Library itself. This region encompassess a very large area, much of it thinly populated.

Down the Hudson River valley, the Southeastern New York Library Resources Council contains a population comparable to those in the Rochester, Central New York, South Central, and Capital District regions in its size and proportion of white collar and professional/technical workers, although the area has a lower proportion of research and development employment. The area is one of the least urbanized of the nine, however, and has considerably less in the way of research library resources than these other regions. The ratio of volumes per researcher is very low in the Southeastern region. Only Long Island has a lower ratio.

The Long Island Library Resources Council, Inc. serves Nassau and Suffolk Counties, which contain well over two and half million persons. Despite this enormous and affluent population base -- per capita public library expenditures are easily the highest in the State -- the area has not been able to expand its research library holdings as one might expect, and both volumes per capita and volumes per researcher are the lowest of any of the nine regions in the State.

The New York Metropolitan Reference and Research Library Agency, Inc. is geographically the smallest 3 R's region. It contains one of the world's outstanding total collections of research materials, with over 43,000,000 volumes in the aggregate. This collection is large enough to give the region the highest ratio of volumes per researcher of any region in the State, despite its enormous concentration of population.

Comparison of Regional Statistics

Exhibit C-1 presents a comparison of selected regional indicators drawn from the individual library resources and demographic profiles. Exhibit C-2 presents the profile data in a somewhat different form, as percentage shares of State totals.

The data in Exhibit C-1 suggests that both the Southeastern and the Long Island regions may have difficulty in meeting regional demand for reference and research resources, simply because the resources needed for effective service may not be available in the region. Both regions have low ratio of volumes per researcher and volume per capita.

The exhibit data demonstrate that serials holdings in a region may be of two distinctly different kinds. Where there are major research libraries, the number of serials titles is high. But this number is also high where there are many small libraries, each with a similar collection of relatively common periodicals. Long Island is a marked example of this tendency.

Finally, the METRO region is remarkable not so much for its strengths, which in sheer bulk are formidable, but for its weaknesses. The potency of the region's collection is generated by the public and special libraries; the academic holdings barely keep pace with the population of students.

EXHIBIT C-1

SELECTED REGIONAL INDICATORS

Indicators	Western New York	Rochester	North Country	Central New York	South Central	Capital District	Southeastern New York	Long Island	Metro	Entire State
Resources:										
Total Research Volumes[a] (000's)	6,605	4,127	1,915	3,941	7,152	3,926	3,050	7,122	43,098	80,938
Volumes Per Researcher[b]	44.6	38.6	44.3	42.1	67.5	39.0	29.8	26.9	48.7	43.7
Volumes Per Capita	3.9	4.3	4.0	4.5	7.6	4.1	3.0	2.8	4.9	4.4
Percent Adult Non-Fiction of Total Public Titles	61.6%	49.1%	43.1%	49.2%	45.0%	48.2%	47.2%	54.1%	71.4%	60.6%
Demographic:										
Population (000's)	1,674	962	477	876	935	962	1,009	2,553	8,789	18,237
Land Area (sq. miles)	4,886	3,168	10,873	4,113	10,154	7,204	5,472	1,218	743	47,831
Population Density (persons/sq. mile)	343	304	44	213	92	134	184	2,096	11,829	381
Percent Urban	62.0%	42.6%	34.4%	68.2%	37.9%	49.8%	39.9%	94.7%	98.5%	50.8%
Percent Employed in Research and Development-Oriented Industries[c]	34.3%	38.8%	11.3%	41.3%	31.1%	15.4%	22.0%	22.7%	25.3%	27.9%
Percent White Collar Workers[c]	44.2%	48.5%	38.6%	49.2%	44.0%	50.2%	49.7%	58.4%	56.1%	52.9%
Percent Professional/Technical Workers[c]	13.9%	17.2%	13.1%	16.2%	16.2%	16.1%	18.9%	18.0%	15.6%	14.6%
Support for Libraries:										
Public Library Budgets/Capita	$ .91	$ .84	$ .81	$ .82	$ .93	$ .72	$ .96	$1.66	$1.05	$1.07
Total Library Budgets/Capita	$2.26	$3.12	$2.80	$2.81	$5.59	$3.29	$2.18	$2.99	$2.72	$2.89
Mean Household Income	$10,049	$11,903	$ 8,595	$10,324	$ 9,518	$10,142	$11,104	$13,167	$10,028	$ 9,780

---

[a] Excludes adult fiction/juvenile titles in public libraries.

[b] College students plus professional, technical and kindred workers.

[c] Based on total civilian labor force.

EXHIBIT C-2

SELECTED REGIONAL INDICATORS: SHARE-OF-STATE TOTALS

Indicators	Western New York	Rochester	North Country	Central New York	South Central	Capital District	Southeastern New York	Long Island	Metro	Entire State
RESOURCES: Percent										
Total Research Volumes	8.2%	5.1%	2.4%	4.9%	8.8%	4.8%	3.8%	8.8%	53.2%	100.0%
Total Serials	6.7	4.4	6.0	6.0	11.6	8.2	6.2	18.9	31.3	99.9*
Total Non-Print Materials	9.2	10.2	2.2	5.8	5.8	3.9	5.2	18.8	38.8	99.9*
Nature of Research Volumes:										
Adult Non-Fiction in Public Libraries	10.9	4.0	2.2	3.4	4.4	3.9	3.5	15.8	51.9	100.0
Academic Library Volumes	8.1	6.4	3.2	6.6	13.7	5.6	4.4	6.6	45.5	100.1*
Special Library Volumes	4.1	3.4	0.5	2.5	2.6	4.3	2.4	4.0	76.2	100.0
DEMOGRAPHY: Percent										
College Students[a]	8.7	5.7	3.2	5.6	7.0	5.7	4.8	13.1	46.1	99.9*
Professional/Technical Workers	7.6	5.8	1.8	4.7	5.0	5.3	5.9	15.0	48.7	99.8*

[a] Enrollment by region, undergraduate, plus graduate.

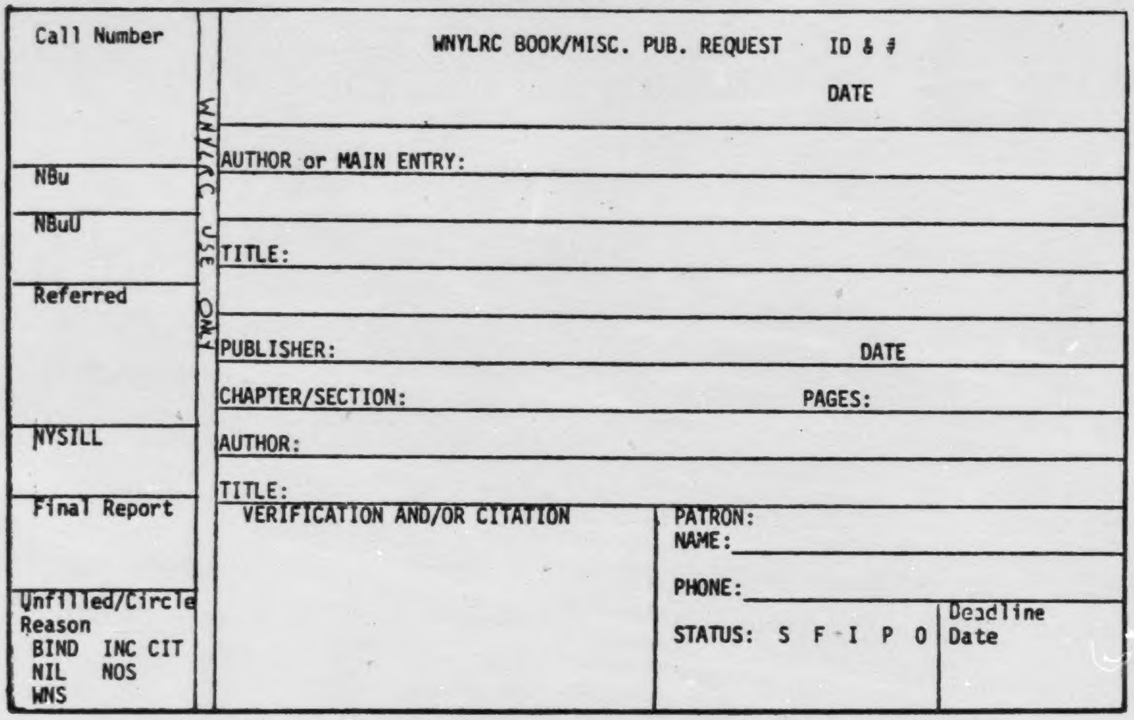
*Rounding error in data.

APPENDIX D

REGIONAL INTERLIBRARY LOAN FORMS USED BY THE FIVE 3R'S COUNCILS UNDER STUDY

EXHIBIT D-1

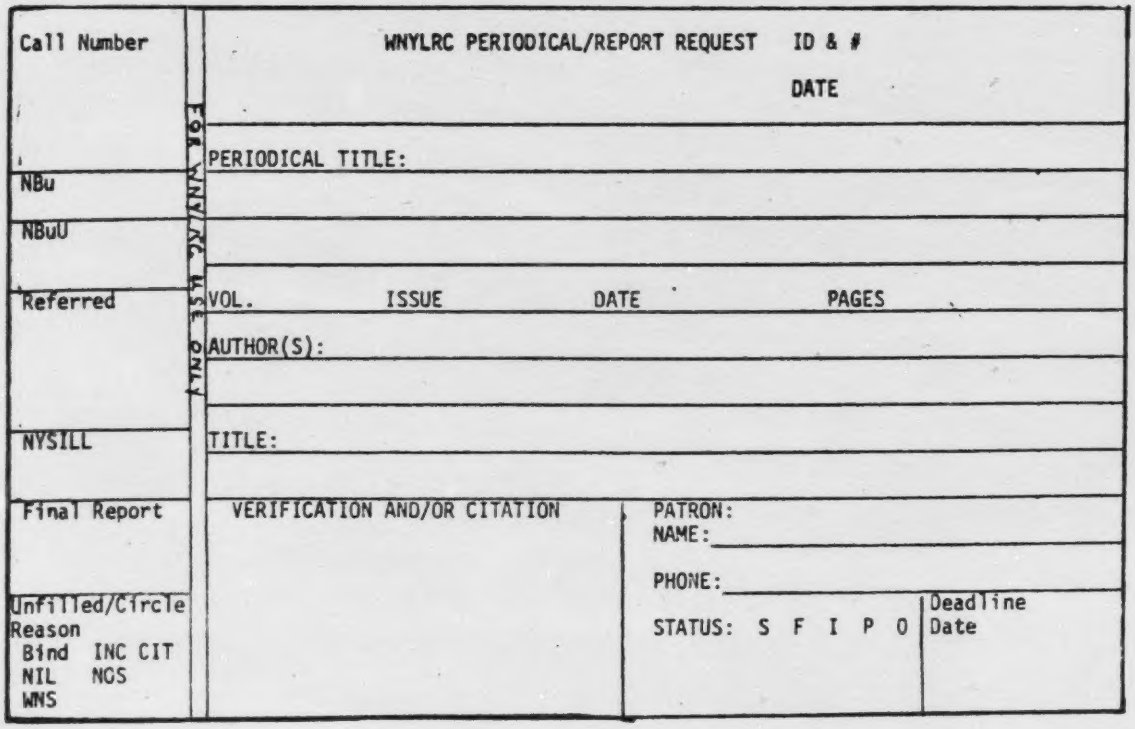
WESTERN NEW YORK LIBRARY RESOURCES COUNCIL
INTERLIBRARY LOAN FORMS



Call Number
NBu
NBuU
Referred
NYSILL
Final Report
Unfilled/Circle Reason
BIND INC CIT
NIL NOS
WNS

WNYLRC USE ONLY

WNYLRC BOOK/MISC. PUB. REQUEST ID & #
DATE
AUTHOR or MAIN ENTRY:
TITLE:
PUBLISHER: DATE
CHAPTER/SECTION: PAGES:
AUTHOR:
TITLE:
VERIFICATION AND/OR CITATION
PATRON:
NAME:
PHONE:
STATUS: S F I P O
Deadline Date



Call Number
NBu
NBuU
Referred
NYSILL
Final Report
Unfilled/Circle Reason
Bind INC CIT
NIL NOS
WNS

FOR WNYLRC USE ONLY

WNYLRC PERIODICAL/REPORT REQUEST ID & #
DATE
PERIODICAL TITLE:
VOL. ISSUE DATE PAGES
AUTHOR(S):
TITLE:
VERIFICATION AND/OR CITATION
PATRON:
NAME:
PHONE:
STATUS: S F I P O
Deadline Date

EXHIBIT D-2
CAPITAL DISTRICT LIBRARY COUNCIL
INTERLIBRARY LOAN FORMS

NYSILL SERIAL FORM (Please type or print)
(Fill in or circle all capitalized sections)

(R) cdlc month ______ request no ________ LIBRARY ____________

(I) s--ELIGIBILITY: I E--PATRON STATUS S F I P O--DEWEY CLASS ______

(S) SERIAL TITLE ____________

(V) VOLUME ____________

(D) MONTH (or issue no) ________ YEAR ________ PAGES ________

(A) ARTICLE AUTHOR ____________

(T) ARTICLE TITLE ____________

(VER) TITLE ____________ VOL ______ PAGE ______ DATE ______

(N) NOTES ____________

NYSILL MONOGRAPH FORM (Please type or print)
(Fill in or circle all capitalized sections)

(R) cdlc month ______ request no ________ LIBRARY ____________

(I) m ELIGIBILITY: I E PATRON STATUS: S F I P O DEWEY CLASS ______

(A) AUTHOR ____________

(T) TITLE ____________

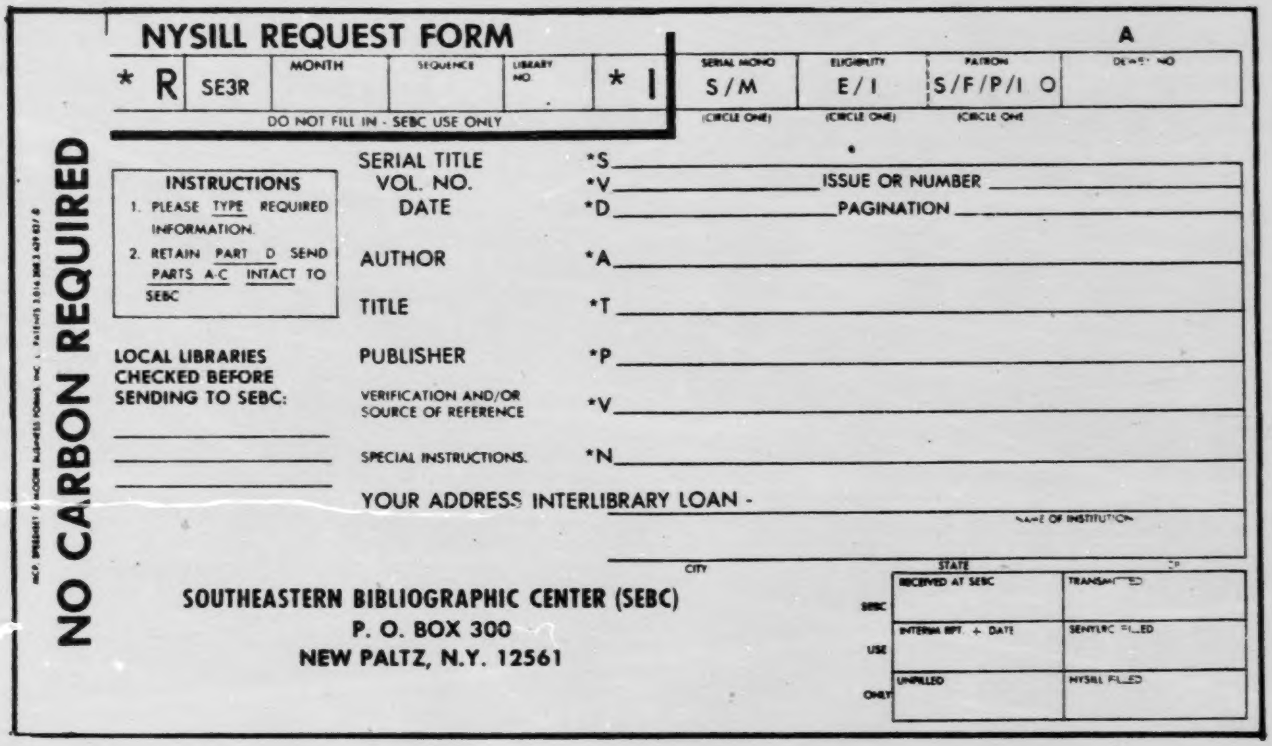
(P) PUBLISHER ____________ DATE ______

(VER) TITLE ____________ VOL ______ PAGE ______ DATE ______

(N) NOTES ____________

EXHIBIT D-3

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL
INTERLIBRARY LOAN FORMS



NO CARBON REQUIRED

NYSILL REQUEST FORM

A

* R	SE3R	MONTH	SEQUENCE	LIBRARY NO.	* I	SERIAL MONO S/M	ELIGIBILITY E/I	PATRON S/F/P/I O	DEWEY NO
DO NOT FILL IN - SEBC USE ONLY						(CIRCLE ONE)	(CIRCLE ONE)	(CIRCLE ONE	

INSTRUCTIONS
1. PLEASE TYPE REQUIRED INFORMATION.
2. RETAIN PART D SEND PARTS A-C INTACT TO SEBC

SERIAL TITLE *S____________________

VOL. NO. *V____________ ISSUE OR NUMBER ____________

DATE *D____________ PAGINATION ____________

AUTHOR *A____________________

TITLE *T____________________

PUBLISHER *P____________________

LOCAL LIBRARIES CHECKED BEFORE SENDING TO SEBC:

____

____

____

VERIFICATION AND/OR SOURCE OF REFERENCE *V____________________

SPECIAL INSTRUCTIONS. *N____________________

YOUR ADDRESS INTERLIBRARY LOAN - ____________________

NAME OF INSTITUTION

____

CITY STATE ZIP

SOUTHEASTERN BIBLIOGRAPHIC CENTER (SEBC)
P. O. BOX 300
NEW PALTZ, N.Y. 12561

SEBC	RECEIVED AT SEBC	TRANSMITTED
USE	INTERIM RPT. + DATE	SENYLRC FILLED
ONLY	UNFILLED	NYSILL FILLED

SEBC TELEPHONE REQUESTS

S/M S F P I O Date of request:
Call No.:

SERIAL TITLE:

VOLUME: YEAR: PAGES:

AUTHOR:

TITLE:

PUBLISHER: PUB. DATE:

BORROWING LIBRARY:
Name:

VERIFICATION:

SPECIAL INSTRUCTIONS/REMARKS:

313

EXHIBIT D-4

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.
INTERLIBRARY LOAN FORMS

DATE OF REQUEST: YOUR REQUEST #: DEWEY NO.:
REQUESTING LIBRARY: USER:
STATUS:
AUTHOR:
TITLE:
PLACE.
PUBLISHER, DATE
VERIFICATION/
SOURCE OF REFERENCE:

LONG ISLAND LIBRARY RESOURCES COUNCIL

BOX 31, BELLPORT, N.Y.
11713

(516) 286-0400

BOOK - 1

LILRC USE ONLY
TRANSMITTED:
FINAL STATUS:

[illegible] USE ONLY
DATE DUE ____

NBELS	NHEMH
NBETG	NHUHI
NCSHB	NHUI
NEAH	NKIPM
NEMMC	NMELA
NFARUA	NMON
NGCA	NNHPJ
NGCCC	NNOPOVA
NGCE	NOWNI
NGCG	NOWU
NGCNLS	NSBSU
NGLCM	[illegible]H
NGLCW	NSELC
NGLH	NSM
NGRNS	NSOAS
NGVP	NUPB
NHAPSA	NWEBE

DATE OF REQUEST: YOUR REQUEST #: DEWEY NO.:
REQUESTING LIBRARY: USER:
STATUS:
SERIAL:
VOL./ISSUE: DATE: PAGES:
AUTHOR:
TITLE OF ARTICLE:
VERIFICATION/
SOURCE OF REFERENCE:

LONG ISLAND LIBRARY RESOURCES COUNCIL

BOX 31, BELLPORT, N.Y.
11713

(516) 286-0400

SERIAL - 1

LILRC USE ONLY
TRANSMITTED:
FINAL STATUS:

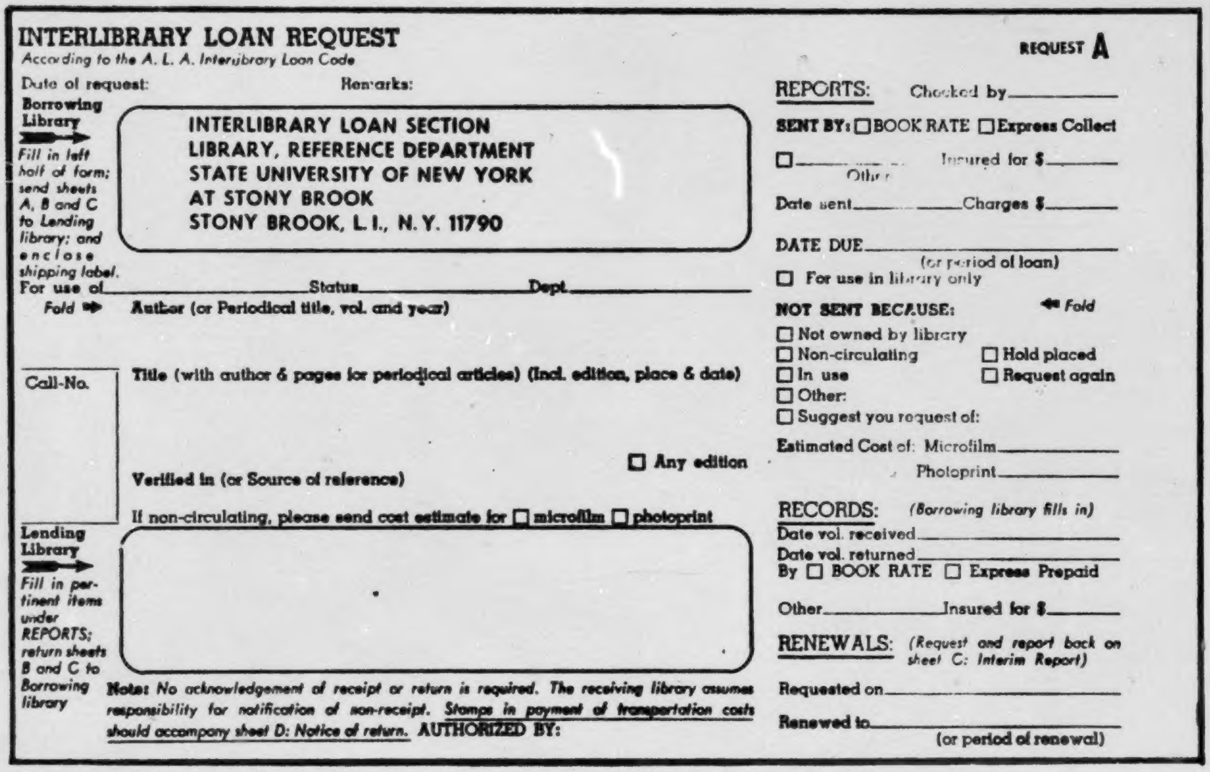
314

[illegible]
DATE DUE ____

NBELS	NHEMH
NBETG	NHUHI
NCSHB	NHUI
NEAH	NKIPM
NEMMC	NMELA
NFARUA	NMON
NGCA	NNHPJ
NGCCC	NNOPOVA
NGCE	NOWNI
NGCG	NOWU
NGCNLS	NSBSU
NGLCM	[illegible]H
NGLCW	NSELC
NGLH	NSM
NGRNS	NSOAS
NGVP	NUPB
NHAPSA	NWEBE

EXHIBIT D-5

AMERICAN LIBRARY ASSOCIATION INTERLIBRARY LOAN REQUEST FORM*



INTERLIBRARY LOAN REQUEST

According to the A. L. A. Interlibrary Loan Code

REQUEST A

Date of request:

Remarks:

Borrowing Library →

Fill in left half of form; send sheets A, B and C to Lending library; and enclose shipping label.

INTERLIBRARY LOAN SECTION
LIBRARY, REFERENCE DEPARTMENT
STATE UNIVERSITY OF NEW YORK
AT STONY BROOK
STONY BROOK, L.I., N.Y. 11790

For use of________________ Status________________ Dept.________________

Fold ➡ **Author (or Periodical title, vol. and year)**

Call-No.

Title (with author & pages for periodical articles) (Incl. edition, place & date)

☐ **Any edition**

Verified in (or Source of reference)

If non-circulating, please send cost estimate for ☐ microfilm ☐ photoprint

Lending Library →

Fill in pertinent items under REPORTS; return sheets B and C to Borrowing library

Note: *No acknowledgement of receipt or return is required. The receiving library assumes responsibility for notification of non-receipt. Stamps in payment of transportation costs should accompany sheet D: Notice of return.* AUTHORIZED BY:

REPORTS: Checked by____________

SENT BY: ☐ BOOK RATE ☐ **Express Collect**

☐ __________ Insured for $________
Other

Date sent__________ Charges $________

DATE DUE__________________
(or period of loan)

☐ For use in library only

NOT SENT BECAUSE: ⬅ *Fold*

☐ Not owned by library
☐ Non-circulating
☐ In use
☐ Other:
☐ Suggest you request of:
☐ Hold placed
☐ Request again

Estimated Cost of: Microfilm____________
Photoprint____________

RECORDS: *(Borrowing library fills in)*

Date vol. received____________
Date vol. returned____________
By ☐ BOOK RATE ☐ **Express Prepaid**

Other__________ Insured for $________

RENEWALS: *(Request and report back on sheet C: Interim Report)*

Requested on____________
Renewed to____________
(or period of renewal)

*Used in Interlibrary Loan Processing by the Rochester Regional Research Library Council.

WESTERN NEW YORK LIBRARY RESOURCES COUNCIL

Monograph Requests

Annabel, Russell
Alaskan Tales
Barnes, 1953

Bannon, Ann
Beebo Brinker
Gold Medal, 1962

*Bishop, Mary
Killraven
Dell, 1974

Bratanon, K.
Second International Symposium on Immunology of Reproduction
Sofia, Bulgarian Academy of Science Press, 1973

Davies, Harold
The Analysis of Economic Times Series
Bloomington, Indiana, Principe Press, 1941

Dreikurs, R. and B. Greenwald
Maintaining Sanity in the Classroom
New York, Harper and Row, 1971

Ellis, Albert and Robert Harper
A Guide to Rational Living
Prentice Hall, 1961

*Farberow, Norman
Taboo Topics
New York, Atherton Press, 1963

Friedman, Wilton and Heller
Monetary vs. Fiscal Policy
Norton, 1969

Gelatt, H.B.
Decisions and Outcomes Student Booklet and Leaders Guide
New York, College Entrance Examination Board, 1973

Grechaninov, Aleksandra
Pastels S Morceauz Miniatures Opus 3 Piano Music
Belaiess, 1894

Hill, Valdemar
Rise to Recognition Account of Virgin Islanders
St. Thomas, V.I. 1971

Knox, Bill
Little Drops of Blood
New York, Doubleday, 1962

Kohnke, Mary
Independent Nurse Practitioner
California, Medcom Press, 1974

*Kunze, Otto
Symopsis Plantarum Cryptogamicarum Ab Poeppig In Cuba Amer Meridionali Col
Leipsig, 1863

*Levi-Sette, Riccardo
Trilobites: A Photographic Atlas
University of Chicago, 1975

*Otto, Herbert
Total Sex
Wyden, 1972

Pan American Union Music Section
Chile Series Title Pan Am Union Music Section Musical Directory of Latin America
Washington, Pan American Union, 1954

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*Request searched at The New York State Library

Monograph Requests (Continued)

Parker, David
Ocean Voyaging
New York,De Graff, 1974

*Phelan, Helene
If Our Earthly House Dissolve
Almond,New York,Sun Publishing, 1973

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APPENDIX E

UNFILLED MONOGRAPH AND SERIAL REQUESTS IN THE FIVE REGIONS UNDER STUDY

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL

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UNFILLED MONOGRAPH AND SERIAL REQUESTS IN THE FIVE REGIONS UNDER STUDY

CAPITAL DISTRICT LIBRARY COUNCIL

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CAPITAL DISTRICT LIBRARY COUNCIL

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UNFILLED MONOGRAPH AND SERIAL REQUESTS IN THE FIVE REGIONS UNDER STUDY

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL

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UNFILLED MONOGRAPH AND SERIAL REQUESTS IN THE FIVE REGIONS UNDER STUDY

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC.

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